

CHESS EXTERNAL TESTING GUIDELINES

User Acceptance Testing (UAT)

**AUSTRALIAN SECURITIES
EXCHANGE**

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General Information

Overview

The External User Testing Environment has been designed to enable users to create and test scenarios that occur in Production.

Test kits are provided with more than one PID to enable users to act as their own counterparty, and therefore complete test scenarios internally. Additionally, an Automatic Turnaround Processor is available for dual entry messages (refer to page 7)

All testing should be undertaken in conjunction with referencing the External Interface Specification (EIS) manual and the ASX Settlement Procedure Guidelines (APG). These manuals are available via www.asxonline.com.

This document is designed to provide details specific to the External User Testing Environment where usage may differ to Production and therefore will not be included in the EIS and APG.

Contact Details

To request support please email chesshelp@asx.com.au or contact ASX Post Trade Operations (PTOps) on 1800 814 051. Please include the word "TESTING – AIC XXXXX" in your email subject.

Support and System Availability

The system is available from 08.30 to 23.55(Sydney time)

Support is available from 09.00 to 17.00 (Sydney time) business days.

Trade Files must be submitted no later than 15.30 (Sydney time) on processing date.

Corporate Action Event Files / requests must be submitted no later than 11:00 am (Sydney time) the day prior to Ex date. Email subject line to read "Testing AIC = / Ex Date = "

Note, processing of requests will be on a best endeavours basis

Settlement Process / End of Day (EOD) Process

Settlement process commences at 12.00

EOD commences at 23.59.



Test Kit Maintenance

A reset will remove the following from your test kit:

- holdings
- subpositions
- outstanding obligations
- corporate actions
- takeover information

To request support please email chesshelp@asx.com.au. Please include the word “TESTING – AIC XXXXX” in your email subject.

Please note that users are requested to only use issuer/ security codes and PIDs within their test kit. This will be monitored by CHESS system support. This will ensure that test kits can be reset more efficiently and successfully.



Connectivity

Network Details

Refer to allocated test kit document for confirmation of CHES test UIC and Port number assigned to your test kit.

The test kit document will provide one of the following CHES UIC and Port numbers.

UAT XP1 CHES Test UIC: 00044 Port: 4207

UAT XP2 CHES Test UIC: 00040 Port: 4210

RTE CHES Test UIC: 00044 Port: 4206

IP Address:

Optus 203.202.049.019

Radianz 206.190.104.215

ASXiVPN 203.004.179.023

Telstra 029.008.001.003

Encryption / Security Keys

Encryption is not required in the External User Testing Environment. Each test kit will allow users to connect with or without encryption. To test with encryption, the below listed security keys should be utilised.

Type 1 Keys

KVC

Shipping Key 774E 1195 C539 93F5 CF09 28D1 909F 5F6F 6D80E2

MKX B368 05F0 7581 D2E1 3C5A 4DBB 73EF 1268 8CB175

MKY EB93 9A5B 8E23 7EC5 95E7 8410 E9D1 839F 8D5651

Type 2 Keys

Shipping Key

part 1 C280 912A 20DA 1375 68B5 0E4A 0485 F8D0 255AF8

part 2 B5CE 80BF E5E3 8080 A7BC 269B 941A A7BF 184929

MKX B368 05F0 7581 D2E1 3C5A 4DBB 73EF 1268 8CB175

MKY EB93 9A5B 8E23 7EC5 95E7 8410 E9D1 839F 8D5651

Type 3 Keys –

Shipping Key

part 1 C280 912A 20DA 1375 68B5 0E4A 0485 F8D0 255AF8

part 2 B5CE 80BF E5E3 8080 A7BC 269B 941A A7BF 184929

MKX 39BF 9149 2392 A36B 0DFA EABC 2632 FAB3



MKY

155B 9098 D000 A1E4 83AB B626 385C 532E



Test Kit Setup

Test Kit Detail

Test kit details are supplied in a separate document at the time of test kit creation and include:

- AIC – Access Identification Code
- PIDs – Participant Identification Codes (including Offeror UIC)
- Issuer and Security Codes

Default Entrepot HINs

Default Entrepot HINs must be nominated and recorded in a CHES default table to facilitate settlement. When a test kit is created users can request default entrepot HINs to be created by ASX Post Trade Operations (PTOs) on their behalf. When this occurs the HINs are automatically recorded in the default table.

Should users choose to create their own Entrepot HINs (via MT 201 messages), or change them, the HINs must be advised to PTOs in order to record them in the CHES default table.

Payment Facilities

All PIDs are allocated a default payment facility at the time of creation. HIN Specific payment facilities can be requested via email to chesshelp@asx.com.au, please include HINs to be associated to Payment Facility

Message Testing

Message Responses

Messages are responded to the same way as production, i.e. the same applications are used to process responses. For Example, a 201 (New Registration Details) message will be responded to immediately with a MT 202 (Accepted New Registration Details) message.

In the situations where third parties are required to complete a transaction, additional processors exist to simulate these parties. For example, in Production, an MT 017 (Issuer Sponsored to CHES Conversion Request) message would be responded to by the relevant Share Registry. However, in the External User Testing Environment MT 017 will be responded to by a registry simulator application. In order to receive desired responses please refer to Appendices A, B, C, D & E.

Automatic Turnaround Processor

The Automatic Turnaround Processor enables users to conduct one-sided testing in relation to dual entry message testing i.e. CHES will respond on behalf of the counterparty. For example, test PID 1232 sends a MT 101 message (Demand Dual Entry CHES to CHES Transfer Request) to counterparty PID 1239, the automatic turnaround program will match the message and PID 1232 will receive a 166 message.

Each test kit is allocated a PID that is assigned to the Automatic Turnaround Processor. This PID is identified as follows; Market Participants automatic turnaround PID will end with a '9', Non Market Participant automatic turnaround PID will begin with a '9'.

Off Market Takeover Bids

Please email cheshelp@asx.com.au to request a takeover code and nominate target security code from your test kit. An Offeror HIN will need to be set up by ASX Post Trade Operations (PTOps), please provide your Offeror UIC from your test kit. All takeovers will be set up as unconditional unless otherwise requested. Please advise PTOps when a status on a takeover should be updated, i.e. changing from unconditional to closed or closed to finalised. Please note that when a takeover status is finalised all subpositions are released.

Please refer to Appendix D for takeover acceptance and removal processing.

If you require the subposition to be removed by the registry (i.e. 431 takeover transfer) please provide PTOps with the Offeror HIN, Takeover Code, Units and HIN to be affected

Takeover Acceptance and Removal Messages

Refer to Appendix D

Housekeeping of Un-actioned Transfers & Conversions

Refer to Appendix A

Holding Detail Advice

Refer to Appendix E



Warrant Testing

A warrant agent relationship can be established at the time of your test kit creation. If you require the relationship to be included to an existing test kit please advise PTOps.

If you require an Effected Holding Adjustment MT 022, but are not a Warrant Issuer, please advise PTOps.

Notification of Changes to CHES Settlement Cut-Off

CHES Event Notification MT 542 message provides information to the change of settlement cut-off times. These messages can be arranged upon request by emailing CHEShelp@asx.com.au

All Participants will receive MT 542 message in the event of change to settlement cut-off notification request.

Options Cover Creation & Removal – Controlling Participant & Clearing Participant Differ

Should you require Options Testing (where CM differs) and a third party clearer relationship is not already established within your kit, please nominate the following and advice PTOps:

- PID (from your test kit)
- Clearing Member PID

Corporate Actions

In Production, corporate action details are communicated via signals. There is no link between signal testing and the External User Testing Environment. Therefore, to ensure that our environment is in line with your corporate action testing and entitlements are created by CHESSE the following will need to occur;

All Corporate Action requests should be emailed to chesshelp@asx.com.au no later than 11:00 (Sydney time) the day prior to the Ex date. Email subject to state "Testing AIC & Ex Date". (e.g. Testing AIC 26380 & Ex Date = 20091029)

Corporate Action Event File for Bonus, Dividend, Interest¹, Renounceable and Non Renounceable corporate actions is required to be submitted to Clearing & Settlement Operations.

These files cannot be processed on the Ex date as CUM entitlement balances will not be generated.

- Email chesshelp@asx.com.au requesting a 9 digit corporate action ID, must be unique for each corporate action.
- Select message format for the type of corporate action you are creating (refer to Appendix H) or Reference Point Corporate Actions Message Specification Manual.
- Create a Corporate Action Event file in a text format (i.e. extension must be .txt)
- Use Issuer Codes and/or Issuer Code and Security Code from your test kit
- Email the Corporate Action Event file to chesshelp@asx.com.au

All other corporate action event requests please email chesshelp@asx.com.au details including:

- Security code/s
- Ex date
- Record date
- All other relevant event dates

Should you require Equity Settlement Operations to act as the share registry and generate holding adjustments or securities transformations, email chesshelp@asx.com.au details including;

- Security code/s
- HIN/s
- Increase/decrease
- Reason
- Unit Quantity

¹ Participants are advised that a new type of Interest Payment (Type CG) event message was introduced into the CHESSE External Test environment in February 2013. The mechanics of the new event type has a number idiosyncrasies in contrast to the standard Interest Payment (Type IN) event and is applicable to Security Type "81" (Government Bonds) only. For further information refer to Participant Bulletin [P2012/623](#).

Corporate Actions

Refer to Appendix H for Corporate Action Event formats for message type “SI” - (i.e. Bonus, Dividend, Interest, Non Renounceable and Renounceable). You may use the values given in the examples, or alternatively tailor these to your own requirements based on the Reference Point Corporate Action Message Specification Manual. All ASX Codes are to be within your own test kit.

For access to Reference Point Corporate Actions Message Specification Manual contact ASX Customer Technical Support email cts@asx.com.au or 1800 663 053

Cash Market Margins

The 942, 952, 940 and 954 messages are generated **overnight** by PTOps. the day before the Participant expects the messages they must request these from chesshelp@asx.com.au. All other Cash Market Margining messages can be found in Appendix F of this document.

These messages are based on default data. The Margin Settlement Advice does not replicate calculations based on the user’s novated and unsettled cash market settlement obligations as it would in production.

PTOps will generate the below messages. Each message outlines information required in the email request from the participant

MT 942 Margin Settlement Advice

For options available to participants, please refer to next page Margin Settlement Notification Advice Rules table.

The following fields in the MT 942 message will change daily;

- Margin Payment Date,
- Transaction Id,
- Origin Transaction Id
- Processing timestamp for all scenarios listed in below table.

Participant Requirements

- Default - participant must supply a UIC from their existing CHESSE test kit
- Excess cash shortage to be a positive amount and excess cash as zero – all fields to be supplied by participants according to the rules listed in the table. Calculated fields will be automatically populated by CHESSE, based on other fields supplied.



Cash Market Margining Responses

Margin Settlement Notification Advice Rules

*Note: Calculated fields will auto populate based on other fields supplied by participants

| Message Field | Default Setting | Example where participant requests excess cash shortage to be a positive amount | Example where participant requests excess cash shortage as zero | Rules |
|---|-----------------|---|---|--|
| Settlement Amount | +1,000,000.00 | +1,000,000 | +1,000,000 | If short, amount will be positive (+), If we ASX to pay then sign is negative (-). |
| Cash Balance Brought Forward | +6,000,000.00 | +4,000,000 | +4,000,000 | |
| Market | CMM | CMM | CMM | |
| Cash Payment / Withdrawal | -2,000,000.00 | -2,000,000.00 | -2,000,000.00 | |
| Notification Type | E | E | E | |
| Cash Balance Carried Forward - <i>*Calculated field</i> | | +2,000,000 | +2,000,000 | Cash Balance Brought Forward + Cash Payment /Withdrawal |
| Initial Margin | +5,000,000.00 | +1,000,000 | +1,000,000 | |
| Other Margin | +0.00 | +1,000,000 | +1,000,000 | |
| Utilised Non-Cash Collateral | +0.00 | +500,000 | 0.00 (zero) | cannot exceed Initial Margin + Other Margin |
| Excess / Shortage - <i>*Calculated field</i> | -1,000,000.00 | +500,000 | 0.00 (zero) | Excess / Shortage" = "Cash Balance Carried Forward" + "Utilised Non-Cash Collateral" – "Initial Margin" – "Other Margin" |
| Excess Cash Standing Instruction | +0.00 | +2,000,000 | +2,000,000 | Field can only have a positive (+) amount or 0.00 amount populated |
| Resultant Cash Balance - <i>*Calculated field</i> | | +3,000,000 | +3,000,000 | Cash Balance Carried Forward + Settlement Amount |
| Resultant Excess - <i>*Calculated field*</i> | | +1,500,000 | +1,500,000 | Excess / Shortage + Settlement Amount |



MT 952 Collateral Statement

The following fields in MT 952 message will change daily. Date, HIN, Lodgement Date, Processing Timestamp, Transaction Id, Set Transaction Id, Origin Transaction Id.

All other fields are generated by the testing simulator. For a collateral statement for EQY the security BHP will be used as default.

Participant email must supply;

- UIC
- Collateral Type - EQY (direct HIN required) or CSH (no HIN required)

EQY example

```
952-01 Collateral Statement
-----
002 Security Code           : BHP
012 Date                   : 20130124
014 Account                : HOUSE
016 HIN                    : 0006485995
021 Processing Timestamp   : 2013012520130125071343
048 Transaction Id        : 990063254AXQJC00
049 Set Transaction Id    : 990063254AXQJB00
052 Unit Quantity         : 00000010000
062 Origin Transaction Id : 990063254AXQJC00
063 Market                 : CMM
068 Market Value          : 00000036540000
085 Notification Type     : E
099 Collateral Type       : EQY
155 Unit Price            : 00036540000
221 Haircut Rate          : 00000200000
236 Lodgement Date       : 20130121
252 Collateral Value      : +00000029232000
```

CSH Example

```
952-01 Collateral Statement
-----
012 Date                   : 20130124
014 Account                : HOUSE
021 Processing Timestamp   : 2013012520130125071343
048 Transaction Id        : 990063254AXQJL00
049 Set Transaction Id    : 990063254AXQJB00
062 Origin Transaction Id : 990063254AXQJL00
063 Market                 : CMM
068 Market Value          : 00000100000000
078 Currency               : AUD
085 Notification Type     : E
099 Collateral Type       : CSH
221 Haircut Rate          : 00000000000
252 Collateral Value      : +00000100000000
```



MT940 Daily Interest Earned Statement

The following fields in MT 940 message will change daily; Date, Processing Timestamp, Transaction Id, Set Transaction Id, Origin Transaction Id.

All other fields are generated by the testing simulator.

Participant email must supply;

- UIC

940-01 Daily Interest Earned Statement

```
-----  
003 Interest Amount      : +00000000013698  
012 Date                 : 20130124  
021 Processing Timestamp  : 2013012520130125071341  
048 Transaction Id       : 990063254AXAW00  
049 Set Transaction Id   : 990063254AXAVZ00  
062 Origin Transaction Id : 990063254AXAW00  
063 Market               : CMM  
067 Principal            : 00000100000000  
085 Notification Type    : E  
207 Interest Description  : EXCESS CASH  
  
251 Interest Rate        : +000000005000
```

Trade Processing

As there is no existing test link between ASX trading platform (ASX Trade) and CHESSE, a trade simulator exists in order for users to receive 164 Notified Broker-Broker Trade messages.

Trade files must be emailed to chesshelp@asx.com.au **prior to 3:30pm** (Sydney time) on the day for processing.

To receive 164s please create a trade file in a text format (i.e. extension must be .txt) and email Equity Settlement Operations. The following procedures advice how to create a trade file based on signal B files (refer to appendix H).

1. Select TA or TB files as required (refer to appendix G). Use the TA trade format if you require as at date, condition codes or basis of quotation.
2. Enter Issuer Codes from your test kit.
3. Enter Security Code from your test kit if required, if not leave three blank spaces.
4. Enter buying PID and selling PID (minus the leading zeros) from your test kit.
5. Alter sale price, sale volume and sale value as required.
6. Alter the Serial Trade Qualifier. This is made of the Julian date (calendar date). NB the Serial Trade Qualifier starts and ends in a zero. Examples as follows:
 - 3rd January 2005, Julian date is 3, this should be shown in the trade file as 0030.
 - 6th April 2005, Julian date is 96, this should be shown in the trade file as 0960.
 - 18th May 2005, Julian date is 138, this should be shown in the trade file as 0380.
 - 25th August 2005, Julian date is 237, this should be shown in the trade file as 0370.
7. Alter the Trade date. The trade date cannot be a date in the future; it can only be the current day that the trade file is to be processed. The only exception to this rule is with cancellations.
8. Ensure the first 5 digits in the trade serial number increase by one for each trade in the trade file. The sixth digit is a check digit.
9. Alter the settlement/as at date to applicable dates.
10. If buyer/seller order reference is not required leave 20 blank spaces.
11. E-mail the trade file to chesshelp@asx.com.au.

You may lodge as many trades as you require remembering to use PID's and Issuer codes from your test kit. To enter trade cancellations, follow the TG format for Signal B (refer appendix H) or advise Equity Settlement Operations the transaction ID of the 164 message to be cancelled.



Trade Processing

Below are samples of Signal B trade formats of TA Equity Trade (long form) and TB Equity Trade (Short form). In the examples shown below the sale price is set to \$1.00, sale volume is set to 1 and the sale value is set to \$1.00. You may use the values given in the examples, or alternatively tailor the trades to your own requirements. For access to Signal B Manual contact Customer Technical Support email cts@asx.com.au or 1800 663 053

TA Equity Trade (Long Form)

```
000010TA01000010X1A___011PID1PID2 001000000000000001000000000100QQQQ YYYYMMDD123456_____  
-----YYYYMMDDYYYYMMDD
```

TB EQUITY TRADE (SHORT FORM)

```
000010TB01000010X1A___011PID1PID200100000000000001000000000100QQQQ YYYYMMDD123456_____  
-----YYYYMMDD
```

Edit Values

| | | |
|----------|---|------------------------|
| X1A | = | Issuer Code |
| PID1 | = | Broker UIC1 |
| PID2 | = | Broker UIC2 |
| QQQQ | = | Serial Trade Qualifier |
| YYYYMMDD | = | Trade date |
| 123456 | = | Trade Serial No. |
| YYYYMMDD | = | Settlement Date |
| yyyymmdd | = | As at date |



Trade Processing AMO

As there is no existing test link between AMO systems and CHES, a “Trade Registration Request” simulator exists to generate the relevant messaging.

In order for users to test receipt of Notified Trades (MT 164) or Cancelled Settlement Instruction (MT 116) messages that have resulted from an AMO Trade Registration Request (i.e. Acceptance or Cancellation), Equity Settlement Operations will act as an AMO.

Test requests to receive messaging as outlined below must be emailed to chesshelp@asx.com.au **prior to 3:30pm** (Sydney time) on the day for processing.

To receive Notified Trade (MT 164) messages (excluding crossings) please provide the following information:

- PID 1*
- PID 2*
- Security codes
- Number of trades (max 50)

To receive Notified Trade (MT 164) message (crossings only) please provide the following information:

- PID 1
- Security codes
- Number of trades (max 10)

NB All provided information must be from users existing test kit.

To receive Cancelled Settlement Instructions (MT 116) messages please provide the following information:

- Transaction ID of Notified Trade (MT 164) message to be cancelled

* PID 1 and PID 2 will be used as Receiving or Delivering PID interchangeably when more than one security is requested.

APPENDIX A – Conversion and Transfer Requests

Supplementary Reference Field

When using the turnaround PID e.g. 1234 and 1239 to match a 005 and Y is indicated in the supplementary reference field, the turnaround processor will automatically populate the matching 005 with the same supplementary reference as was entered in the original 005.

When not using the turnaround PID e.g. 1234 and 1235 to match a 005 normal Supplementary reference rules apply.

Dual Entry Conversion and Transfers

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|--|--------------------|------------|---------------------------|----------------------------------|
| Issuer Sponsored to CHES Transfer | unit quantity | odd Units | 015 | 174- accept |
| | | even units | 015 | 076 - reject |
| Issuer Sponsored to CHES Conversion | unit quantity | odd Units | 017 | 172 – accept |
| | | even units | 017 | 076 - reject |
| Certificated to CHES Conversion | unit quantity | odd Units | 019 | 172 – accept |
| | | even units | 019 | 076 - reject |
| Certificated to CHES Transfer | unit quantity | odd Units | 021 | 174 – accept |
| | | even units | 021 | 076 - reject |

Rejected Movement Reason Codes

Range of even unit values required to generate rejected movement reason codes for rejected registry to CHES movement MT076

| Unit Range | Rejected Movement | Description |
|-------------|-------------------|---------------------------|
| 0 – 1000 | A | Issuer holding locked |
| 1001 – 2000 | B | Certificate invalid |
| 2001 – 3000 | C | Unauthorised access |
| 3001 – 4000 | D | Certificate declared lost |
| 4001 – 5000 | E | Insufficient securities |

| Unit Range | Rejected Movement | Description |
|-------------------|-------------------|--|
| 5001 – 6000 | F | Registration details do not match |
| 6001 – 7000 | G | Invalid PIN |
| 7001 – 8000 | H | Invalid Security holder Reference Number |
| 8001 – 8200 | J | Documentation not received |
| 8201 – 8400 | K | Registry certificate quantity different to certificate quantity supplied |
| 8401 – 8600 | L | Duplicate certificate number supplied by registry - SRN must be supplied |
| 8601 – 8800 | M | Insufficient cum entitlement |
| 8801 – 9000 | N | Probate not noted |
| 9001 – 9200 | O | Invalid foreign guarantee |
| 9201 - 9500 | P | Insufficient foreign units |
| 9501 – 10,000,000 | R | Documentation incorrectly signed |

CHES House Keeping

Range of even unit values to generate CHES House Keeping MT 694

| Unit Range | Rejected Movement | Description |
|-----------------------------|-------------------|---|
| 10,000,001 - 99,999,999,999 | N/A | House kept by CHES Refer to below for dates message generates. |

Example: If Participant initiates message on 1/5/17, on the night of the 5th business day 8/5/17 (note do not include date participant initiated message) CHES will generate the MT694 during end of day processing. The MT694 will be available on the morning of the 6th business day (9/5/17).

Settlement Days May 2017 

| Sunday | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|--------|--------|---------|-----------|----------|--------|----------|
| | 1 | 2 | 3 | 4 | 5 | 6 |
| 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| 14 | 15 | 16 | 17 | 18 | 19 | 20 |
| 21 | 22 | 23 | 24 | 25 | 26 | 27 |
| 28 | 29 | 30 | 31 | | | |



APPENDIX B – Options Cover

Options Cover Creation

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|-------------------------------|--------------------|------------|---------------------------|----------------------------------|
| Options Cover Creation | unit quantity | odd Units | 027 | 020- accept |
| | | even units | 027 | 030 - reject |

Rejected Movement Reason Codes

Range of even unit values required to generate rejected collateral reason codes for reduced options cover MT030.

| Unit Range | Collateral rejected reason | Description |
|-------------|----------------------------|---|
| 0 – 1000 | A | Invalid Security holder Reference Number |
| 1001 – 1500 | C | Invalid Stock Code |
| 1501 – 2000 | D | Invalid Sender PID |
| 2001 – 2500 | E | Authorisation not in place for this account / HIN / combination/s |
| 2501 – 3000 | Z | Other |
| 3001 - 3500 | E | Authorisation not in place for this account/HIN/combination/s |
| 3501 – 4000 | H | Invalid HIN |
| 4001 – 4500 | I | Invalid Account |
| 4501 – 5000 | J | The stock is not accepted as cover at the present time |
| 5001 – 5500 | K | Invalid Participant |
| 5501 – 6000 | L | Invalid Lodgement Number |
| 6001 – 6500 | M | Incorrect message type sent by Participant |
| 6501 – 7000 | N | Account or lodgement has been locked by ASX Clear |
| 7001 – 7500 | O | Original lodgement number cannot be found |
| 7501 – 8500 | P | Account not set up for Paperless Processing |
| 8501 – 9000 | R | The Stock has reached its Maturity Date |



| Unit Range | Collateral rejected reasons | Description |
|-------------|-----------------------------|---|
| 9001 – 9500 | S | Message not set to Specific Cover |
| 9501 – 9700 | T | Lodgement of Super Fund Stock into a Non Super Fund account not permitted |
| 9701 – 9800 | U | Invalid Number of Units |
| > 9801 | Z | Other |

Options Cover Removal

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|------------------------------|--------------------|------------|---------------------------|----------------------------------|
| Options Cover Removal | unit quantity | odd Units | 029 | 030- accept |
| | | even units | 029 | 078 - reject |

Rejected Movement Reason Codes where Controlling & CP are the same

Range of even unit values required to generate rejected reason codes for rejected options cover removal MT 078.

NB: All odd unit values will generate a Collateral Rejected Reason code of “Z” MT 030

| Unit Range | Collateral rejected reasons | Description |
|-------------|-----------------------------|--|
| 0 – 500 | A | As requested by member |
| 501 – 1000 | B | Collateral previously withdrawn by member |
| 1001 – 1500 | C | Invalid stock code |
| 1501 – 2000 | D | Invalid sender PID |
| 2001 – 2500 | E | Authorisation is not in place for this account/HIN combination/s |
| 2501 - 3000 | Z | Other |
| 3001 – 3500 | G | Number of Units for withdrawal is more than the available Number of Units lodged |
| 3501 – 4000 | H | Invalid HIN |
| 4001 – 5000 | I | Invalid Account |



| Unit Range | Collateral rejected reasons | Description |
|-------------|-----------------------------|---|
| 5001 – 5500 | K | Invalid Participant |
| 5501 – 6000 | L | Invalid Lodgement Number |
| 6001 – 6500 | M | Incorrect message type sent by Participant |
| 6501 – 7000 | N | Account or lodgement has been locked by ASX Clear |
| 7001 – 8000 | O | Original lodgement number cannot be found |
| 8001 – 9700 | Q | Collateral holding does not exist in this account |
| 9701 – 9800 | U | Invalid Number of Units |
| > 9801 | Z | Other |

Rejected Movement Reason Codes where Controlling Participant & CP are different

ASX Clear lodgement number values required to generate collateral rejected reason codes for rejected options cover removal MT 078.

| ASXCL Lodgement Number ends with | Collateral Rejected Reason | Description |
|----------------------------------|----------------------------|--|
| 1 | A | As requested by Member |
| 3 | B | Collateral previously withdrawn by member |
| 5 | C | Invalid stock code |
| 7 | D | Invalid sender PID |
| 9 | G | Number of Units for withdrawal is more than the available Number of Units lodged |
| A | G | Number of Units for withdrawal is more than the available Number of Units lodged |
| B | H | Invalid HIN |
| C,D or E | I | Invalid Account |
| F,J or K | L | Invalid lodgement Number |
| L or M | O | Original lodgement number cannot be found |
| N,O,P or Q | Q | Collateral holding does not exist in this account |
| R or S | U | Invalid Number of Units |
| T | Z | Other |



APPENDIX C – SRN Requests

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|--------------------------------|---|--|---------------------------|----------------------------------|
| SRN Enquiry | Postcode provided as part of registration details | Post code range < 3001 | 451 | 458- accept |
| | | Post code range > 3000 and < 5001 and range > 5000 including all country codes | 451 | 462 – reject |
| Holding Balance Enquiry | Security holder reference number | SRN is an odd number or ends in A-M | 017 | 470 - accept |
| | | SRN is an even number or ends in N – Z | 017 | 474 – reject |

Rejected Movement Reason Codes MT 462

Range of post code values required to generate registry reject reasons for CHES to Participant SRN reject MT 462.

| Postcode range | Registry reject reason | Description |
|---------------------------------------|------------------------|--|
| 3001 – 5001 | C | No matching registration details found |
| 35001 – ZZZZ includes Country Code | D | Duplicate registration details records exist |

Rejected Movement Reason Codes MT 474

Range of SRN values required to generate registry rejection reason for CHES to participant holding balance reject MT 474.

| SRN range (last character of SRN) | Registry reject reason | Description |
|-----------------------------------|------------------------|---|
| 2, 4 or N-Q | A | No matching SRN |
| 6, 8 or R-V | B | SRN and verification details do not match |
| 0 or W-Z | E | Invalid Status |

APPENDIX D – Off Market Takeover Bid Processing

Participant Initiated T Acceptance and Removal

Values required for takeover acceptance and removal messages

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|------------------------------------|--------------------|------------|---------------------------|----------------------------------|
| Takeover acceptance | unit quantity | even Units | 031 | 038- reject |
| | | odd units | 031 | 032 - accept |
| Takeover acceptance Removal | Unit quantity | odd units | 085 | 038- accept |
| | | Even units | 085 | 088 - reject |

Offeror Initiated TKO Acceptance and Rejection

Values required for takeover acceptance and rejection messages

| | Trigger Field Name | Trigger | | Participant Input Message | Resulting Message to Participant |
|--|------------------------|----------------------|--|---------------------------|----------------------------------|
| Offeror Takeover Acceptance- Participant Validates | Units available in HIN | 0-5,000,000 | | 711 Offeror | 704- Off |
| | | Odd Units | | 031 Participant | 032 - P |
| Offeror Takeover Acceptance- Participant Rejections | Units available in HIN | 5,000,001-10,000,000 | | 711 Offeror | 710- Off |
| | | Odd Units | | 035 Participant | 084 - Part |

Values required for takeover acceptance removal message

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|--|------------------------|---------------------------|---------------------------|----------------------------------|
| Offeror Initiated TKO | Units available in HIN | 10,000,001-99,999,999,999 | 711 Off | 704 Off |
| Offeror Takeover Acceptance-Participant Validates | Units available in HIN | 10,000,001-99,999,999,999 | 031P | 032 P |
| Takeover Acceptance Removal by Offeror | Units available in HIN | 10,000,001-99,999,999,999 | 707 Off | 706 Off 092 P |

Offeror Initiated Cancelled TKO Acceptance

Values required to generate Cancelled Offeror Initiated TKO Acceptance

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|--|------------------------|---------------------------|---------------------------|----------------------------------|
| Takeover Acceptance | Units available in HIN | 10,000,001-99,999,999,999 | 711 Off | 704 |
| Cancelled Offeror Initiated TKO Acceptance. | Units available in HIN | 10,000,001-99,999,999,999 | | 432 P 432 Off |

NB: The MT 432 (housekeeping) Cancelled Offeror initiated TKO message occurs in the event the Controlling Participant has not responded to an Offeror Initiated Takeover Acceptance with either an acceptance or rejection within the Scheduled Time.

APPENDIX E – Holding Advice and Bank Account Details

Holding Advice Acceptance and Rejection

| | Trigger Field Name | Trigger | Participant Input Message | Registry Input | Resulting Input Message to Participant | Resulting Message to Registry |
|--|----------------------|--------------------------|---------------------------|----------------|--|-------------------------------|
| Holding Advice Registry Accepts | Bank Account Number | First 3 Bytes of the BSB | 757 | 759 | 764 | 762 |
| Holding Advice Registry Rejects | Bank Account Numbers | First 3 Bytes Of the BSB | 757 | 761 | 766 | 762 |

NB: Refer to table below for further information.

Approved BSB numbers from the Australian Payments and Clearing Association Limited must be used.

If the Registry wishes to reject details of a Holding Advice message, the entire details will be rejected. A participant must resend the message with all details. E.g. If a Participant submitted Bank Account details on a Holding Advice message and received 'B', 'D' or 'H' as the rejected reason, the participant would be required to resend the Bank Account

Where a participant has elected to provide a bank account, the relevant optional fields must be completed. For example, if a participant provided a bank account, all bank account details must be provided (i.e. BSB Number, Account Number, Account Name and Account Purpose).

Bank Account Establishment & Cancellation

| First 3 Bytes of BSB | Account Purpose | Account Cancellation | Rejected Holding Advice Reason | Description |
|---|-----------------|----------------------|--------------------------------|---|
| Bank Account Details Establishment | | | | |
| 000 – 067 | E | Space | N/A (accepted) | |
| 068 – 101 | E | Space | H | Failed requirements for Bank A/C structure or format |
| 102 – 999 | E | Space | B | Issuer does not support electronic direct credit |
| Cancellation of Bank Account Details | | | | |
| 000 – 067 | E | Y | N/A (accepted) | |
| 068 – 999 | E | Space | D | Cancellation Bank A/C details do not match recorded Bank A/C details. |



APPENDIX F – Cash Market Margining

Lodgement of Non Cash Collateral

| | Trigger Field Name | Trigger | Clearing Participant Input Message | Resulting Message to Clearing Participant |
|---|--------------------|------------|------------------------------------|---|
| Margin Cover Creation Request | Unit Quantity | Odd Units | MT871 | MT876 - accept |
| Reduced Margin Cover (Rejection) | Unit Quantity | Even Units | MT871 | MT878 - reject |

The range of even units values required to generate the “Collateral Rejected Reason” values for “Reduced Margin Cover” (MT 878) are as follows:-

| Unit Range | Collateral Rejected Reason Value | Collateral Rejected Reason Description |
|-------------|----------------------------------|---|
| 0000 – 1000 | C | Invalid Stock Code |
| 1001 – 2000 | D | Invalid Send PID |
| 2001 – 3000 | E | Authorisation not in place for this Account/HIN combination/s |
| 3001 – 4000 | H | Invalid HIN |
| 4001 – 5000 | I | Invalid Account |
| 5001 – 6000 | J | The stock is not accepted as cover at the present time |
| 6001 – 7500 | K | Invalid Participant |
| 7001 – 8000 | N | Account or Lodgement has been locked by ASX Clear |
| 8001 – 9000 | U | Invalid Number of Units |
| >9001 | Z | Other |

Withdrawal of Non Cash Collateral

| | Trigger Field Name | Trigger | Clearing Participant Input Message | Resulting Message to Clearing Participant |
|--|--------------------|------------|------------------------------------|---|
| Margin Cover Removal Request | Unit Quantity | Odd Units | MT877 | MT878 - accept |
| Rejected Margin Cover Removal Request | Unit Quantity | Even Units | MT877 | MT956 - reject |

The range of even units values required to generate the “Collateral Rejected Reason” values for “Reduced Margin Cover” (MT 878) are as follows:-

| Unit Range | Collateral Rejected Reason Value | Collateral Rejected Reason Description |
|-------------|----------------------------------|---|
| 0000 – 1000 | C | Invalid Stock Code |
| 1001 – 2000 | D | Invalid Send PID |
| 2001 – 3000 | E | Authorisation not in place for this Account/HIN combination/s |
| 3001 – 4000 | G | Number of Units for withdrawal is more than the available Number of Units Lodged. |
| 4001 – 5000 | H | Invalid HIN |
| 5001 – 6000 | I | Invalid Account |
| 6001 – 7000 | K | Invalid Participant |
| 7001 – 8000 | N | Account or Lodgement has been locked by ASX Clear |
| 8001 – 8500 | Q | Collateral Holding does not exist in this account |
| 8501 – 9000 | U | Invalid Number of Units |

Excess Cash Standing Instruction

| | Trigger Field Name | Trigger | Clearing Participant Input Message | Resulting Message to Clearing Participant |
|--|---|---------|---|---|
| Excess Cash Standing Instruction Acceptance | Amount is zero Instruction Flag is Y | MT909 | MT936 (Accept) | Amount is zero Instruction Flag is Y |
| *Excess Cash Standing Instruction Request Rejection | Amount is zero Instruction Flag is Y | MT909 | MT938 (Reject). Rejection "E" – Attempted to remove non-existent Excess Cash | Amount is zero Instruction Flag is Y |
| Excess Cash Standing Instruction Request Acceptance | Amount is between 0 – 30,000,000 Instruction Flag is a space | MT909 | MT936 (Accept) | Amount is between 0 – 30,000,000 Instruction Flag is a space |
| Excess Cash Standing Instruction Request Rejection | Amount is > 30,000,000 and Instruction Flag is space | MT909 | MT938 (Reject). Rejection "M" – Maximum allowed excess cash | Amount is > 30,000,000 and Instruction Flag is space |

*For Rejection Reason "E" – Attempted to remove non-existent Excess Cash Standing Instruction, please contact ASX Post Trade Operations (PTOps).

Margin Settlement Advice Change Request

| | Field Name & Trigger | Clearing Participant Input Message | Resulting Message to Clearing Participant |
|---|--|------------------------------------|--|
| Margin Settlement Amount Change Request Acceptance | Odd dollar value Settlement Amount is 0.00 to 30,000,001.00 | MT921 | MT948 (Accept) New resultant excess cash default \$5,000.00 |
| Margin Settlement Amount Change Request Rejection | Even dollar value Settlement Amount is 0.00 to 30,000,000.00 OR Even or Odd when Settlement Amount is > 30,000,001.00 | MT921 | MT950 (Reject). Rejected change reason must be supplied |

The range of even Settlement Amount values required to generate the “Rejected Margin Settlement Amount Change” (MT 950) are as follows:-

| Settlement Amount Range | Collateral Rejected Reason Value | Collateral Rejected Reason Description |
|--------------------------------------|----------------------------------|--|
| 0.00 – 15,000,000.00 | S | Amount resulted in Shortage |
| 15,000,001.00 – 30,000,000.00 | L | Request received after Settlement locked |
| >30,000,001.00 | M | Maximum Allowed Excess Cash Exceeded |



APPENDIX G – Trade Files

TA Equity Trade (Long Form)

124 bytes (144 bytes – Signal B)

| | | | | | |
|------------------------|---------------------|------------------------|----------------------|-------------|--------|
| : Sequence : Number | : Message : Type | : Retransmit : I.D. | : Exchange : I.D. | : Time : | : : |
| 6 | 2 | 1 | 1 | 6 | |

| | | | | | |
|-------------------------|---------------------------|---------------------------|---|------------------------|-------------|
| : Issuer : Code : | : Security : Code : | : Security : Type : | : Ticker : Permission : Indicator | : Buyer : I.D. : | : : : |
| 3 | 3 | 2 | 1 | 4 | |

| | | | | | |
|-------------------------|------------------------|-------------------------|------------------------|------------------------------------|-------------|
| : Seller : I.D. : | : Sale : Price : | : Sale : Volume : | : Sale : Value : | : Serial : Trade : Qualifier | : : : |
| 4 | 9 | 9 | 12 | 4 | |

| | | | | | |
|-------------------|-------------------------|------------------------|-------------------|------------------------|--------|
| : Trade : Date | : Trade : Serial No. | : Condition : Codes | : As At : Date | : Settlement : Date | : : |
| 8 | 6 | 16 | 8 | 8 | |

| | | | | |
|-------------------------------------|---|---|--|------------------|
| : Basis of : Quotation : : | : Special : Market : Indicator : | : Buyer Order : Reference : Number : | : Seller : Order : Reference : Number | : : : : |
|-------------------------------------|---|---|--|------------------|

10 1 10# 10#

Only available on Signal B. Message type is truncated for public signals.



TB Equity Trade (Short Form)

81 bytes (109 bytes – Signal B)

| | | | | | |
|-------------------------|---------------------------|----------------------------------|---|------------------------------------|-------------|
| : Sequence : Number | : Message : Type | : Retransmit : I.D. | : Exchange : I.D. | : Time : | : : |
| 6 | 2 | 1 | 1 | 6 | |
| : Issuer : Code : | : Security : Code : | : Security : Type : | : Ticker : Permission : Indicator | : Buyer : I.D. : | : : : |
| 3 | 3 | 2 | 1 | 4 | |
| : Seller : I.D. : | : Sale : Price : | : Sale : Volume : | : Sale : Value : | : Serial : Trade : Qualifier | : : : |
| 4 | 9 | 9 | 12 | 4 | |
| : Trade : Date | : Trade : Serial No. | : Buyer Order : Reference No. | : Seller Order : Reference No. | : Settlement : Date | : : |
| 8 | 6 | 10# | 10# | 8# | |

Only available on Signal B. Message type is truncated for all other signals.



TG Equity Trade Cancellation

113 bytes (153 bytes – Signal B)

| | | | | | | |
|--|----------------------------------|--------------------------------------|--|---|---------------------------|--------|
| : Sequence : Number | : Message : Type | : Retransmit : I.D. | : Exchange : I.D. | : Time : | : : | |
| 6 | 2 | 1 | 1 | 6 | | |
| : Issuer : Code : | : Security : Code : | : Security : Type : | : Ticker : Permission : Indicator | : Buyer : I.D. : | : : : | |
| 3 | 3 | 2 | 1 | 4 | | |
| : Seller : I.D. : | : Sale : Price : | : Sale : Volume : | : Sale : Value : | : Serial : Trade : Qualifier | : : : | |
| 4 | 9 | 9 | 12 | 4 | | |
| : Trade : Date | : Trade : Serial No. | : Condition : Codes | : As At : Date | : Settlement : Date | : Basis of : Quotation | : : |
| 8 | 6 | 16 | 8 | 8 | 10 | |
| : Original : Trade Capture: : Date | : Reversal : Reason : Code | : Special : Market : Indicator | : Buyer Order : Reference : Number | : Seller Order : Reference : Number | : : : | |
| 8 | 1 | 1 | 10# | 10# | | |

Only available on Signal B. Message type is truncated for public signals.



APPENDIX H – Corporate Action Files

CA Bonus Corporate Action

225 bytes

| Name | Column* | Size | Comments |
|---------------------------------|---------|------|--|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010108 (note new ID provided by C&S Ops for each corp action) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | BN |
| Parent ISIN | G | 12 | AU000000BWC1 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20170206 |
| Record Date Parent | J | 8 | 20170207 |
| Despatch Date New Shares | K | 8 | 20170216 |
| Subject Parent Issuer Code | L | 3 | BWC |
| Subject Parent Security Code | M | 3 | 3 spaces (shown in example below as underscore) |
| Parent Adjustment Type Code | N | 1 | B |
| Parent Action Code | O | 1 | A |
| Parent Adjustment Date | P | 8 | 20170208 |
| Parent Original Adjustment Date | Q | 8 | 00000000 |
| Object Bonus Issuer Code | R | 3 | BWC |

CA Dividend Payment Corporate Action

375 bytes

| Name | Column* | Size | Comments |
|---------------------------------|---------|------|--|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010108 (note new ID provided by C&S Ops for each corp action) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | DV |
| Parent ISIN | G | 12 | AU000000BWD9 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20170206 |
| Record Date Parent | J | 8 | 20170207 |
| Dividend Payable Date | K | 8 | 20170223 |
| Subject Parent Issuer Code | L | 3 | BWD |
| Subject Parent Security Code | M | 3 | 3 spaces (shown in example below as underscore) |
| Parent Adjustment Type Code | N | 1 | D |
| Parent Action Code | O | 1 | A |
| Parent Adjustment Date | P | 8 | 20170208 |
| Parent Original Adjustment Date | Q | 8 | 00000000 |
| Current Dividend Amount | R | 10 | 0000040000 |
| Dividend Sub-Type | S | 1 | N/A |



| Name | Column* | Size | Comments |
|--------------------------------------|---------|------|----------|
| Special Indicator | T | 1 | N/A |
| DRP Indicator | U | 1 | N/A |
| BSP Indicator | V | 1 | N/A |
| Foreign Source Dividend Amount | W | 10 | N/A |
| Dividend Currency | X | 3 | N/A |
| Withholding Tax Rate (Non-Residents) | Y | 5 | N/A |
| Foreign Tax Credits Per Share | Z | 10 | N/A |
| Reserved Field | AA | 10 | N/A |
| Tax Deferred Amount | AB | 10 | N/A |
| Tax Advantaged Amount | AC | 10 | N/A |
| Tax Advantaged Type | AD | 1 | N/A |
| Foreign Currency Amount | AE | 10 | N/A |
| Franked Amount | AF | 8 | N/A |

EXAMPLE OF TXT FILE

Based on the signal data above, your Dividend Corporate Action TXT file should look like below **except it should be all on one line.**

```
000001SI0000010108000000000DVVAU000000BWD9A201702062017020720170223BWD
__ _DA20170208000000000000040000
```

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

Settlement Days February 2017 

| Sunday | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|--------|--------|---------|-----------|----------|--------|----------|
| | | | 1 | 2 | 3 | 4 |
| 5 | 6 | 7 | 8 | 9 | 10 | 11 |
| 12 | 13 | 14 | 15 | 16 | 17 | 18 |
| 19 | 20 | 21 | 22 | 23 | 24 | 25 |
| 26 | 27 | 28 | | | | |



CA Interest Payment Corporate Action (Standard)

112 bytes

| Name | Column* | Size | Comments |
|---------------------------------|---------|------|--|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010108 (note new ID provided by C&S Ops for each corp action) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | IN |
| Parent ISIN | G | 12 | AU0000BWDHA2 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20170206 (Ex-date is prior to Record Date) |
| Record Date Parent | J | 8 | 20170207 |
| Interest Payable Date | K | 8 | 20170215 |
| Subject Parent Issuer Code | L | 3 | BWD |
| Subject Parent Security Code | M | 3 | HA |
| Parent Adjustment Type Code | N | 1 | I |
| Parent Action Code | O | 1 | A |
| Parent Adjustment Date | P | 8 | 20170208 |
| Parent Original Adjustment Date | Q | 8 | 00000000 |
| Current Interest Rate | R | 11 | 00000309930 (Expressed as a Percentage to five decimal places, e.g. 3.0993%) |
| Current Interest Amount | S | 11 | 00030993000 (Expressed in Cents to five decimal places, e.g. \$3.0993) |



EXAMPLE OF TXT FILE

Based on the signal data above, your Dividend Corporate Action TXT file should look like below **except it should be all on one line.**

000001SI00000101080000000000IN AU0000BWDHA2A201702062017020720170215BWD
 HA_IA20170208000000000000030993000030993000

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

Settlement Days February 2017 

| Sunday | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|-----------|---------------------|---------------------|---------------------|---------------------|---------------------|-----------|
| | | | 30 Jan 1 | 31 Jan 2 | 1 Feb 3 | 4 |
| 5 | 2 Feb 6 | 3 Feb 7 | 6 Feb 8 | 7 Feb 9 | 8 Feb 10 | 11 |
| 12 | 9 Feb 13 | 10 Feb 14 | 13 Feb 15 | 14 Feb 16 | 15 Feb 17 | 18 |
| 19 | 16 Feb 20 | 17 Feb 21 | 20 Feb 22 | 21 Feb 23 | 22 Feb 24 | 25 |
| 26 | 23 Feb 27 | 24 Feb 28 | | | | |
| | 1 Mar | 2 Mar | | | | |



CA Interest Payment Corporate Action (Type CG)

112 bytes

| Name | Column* | Size | Comments |
|---------------------------------|---------|------|--|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010108 (note new ID provided by C&S Ops for each corp action) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | CG |
| Parent ISIN | G | 12 | AU000GSBG150 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20170206 (Ex-date is 1-Business day post Record Date) |
| Record Date Parent | J | 8 | 20170207 |
| Interest Payable Date | K | 8 | 20170215 |
| Subject Parent Issuer Code | L | 3 | GSB |
| Subject Parent Security Code | M | 3 | G15 |
| Parent Adjustment Type Code | N | 1 | I |
| Parent Action Code | O | 1 | A |
| Parent Adjustment Date | P | 8 | 20170208 |
| Parent Original Adjustment Date | Q | 8 | 00000000 |
| Current Interest Rate | R | 11 | 00000309930 (Expressed as a Percentage to five decimal places, e.g. 3.0993%) |
| Current Interest Amount | S | 11 | 00030993000 (Expressed in Cents to five decimal places, e.g. \$3.0993) |



EXAMPLE OF TXT FILE

Based on the signal data above, your Dividend Corporate Action TXT file should look like below **except it should be all on one line.**

000001SI00000101080000000000CG AU000GSBG150A201702062017020720110215GSB
G15IA20170208000000000000030993000030993000

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

Settlement Days February 2017 

| Sunday | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|-----------|---------------------|---------------------|---------------------|---------------------|---------------------|-----------|
| | | | 30 Jan 1 | 31 Jan 2 | 1 Feb 3 | 4 |
| 5 | 2 Feb 6 | 3 Feb 7 | 4 Feb 8 | 5 Feb 9 | 6 Feb 10 | 11 |
| 12 | 7 Feb 13 | 8 Feb 14 | 9 Feb 15 | 10 Feb 16 | 11 Feb 17 | 18 |
| 19 | 12 Feb 20 | 13 Feb 21 | 14 Feb 22 | 15 Feb 23 | 16 Feb 24 | 25 |
| 26 | 17 Feb 27 | 18 Feb 28 | | | | |
| | 19 Feb 1 Mar | 20 Feb 2 Mar | | | | |



CA Non Renounceable Corporate Action

282 bytes

| Name | Column* | Size | Comments |
|----------------------------------|---------|------|--|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010134 (note new ID provided by C&S Ops for each corp action) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | NR |
| Parent ISIN | G | 12 | AU000000BCK6 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20170201 |
| Record Date Parent | J | 8 | 201700202 |
| Application Close Date | K | 8 | 20170224 |
| Despatch Date New Shares | L | 8 | 20170303 |
| Subject Parent Issuer Code | M | 3 | BCK |
| Subject Parent Security Code | N | 3 | 3 spaces (shown in below example as underscore) |
| Parent Adjustment Type Code | O | 1 | E |
| Parent Action Code | P | 1 | A |
| Parent Adjustment Date | Q | 8 | 20170203 |
| Parent Original Adjustment Date | R | 8 | 00000000 |
| Object Entitlement Issuer Code | S | 3 | BCK |
| Object Entitlement Security Code | T | 3 | R & 2 spaces (shown in below example as underscore) |
| Calculation Method | U | 1 | 1 |



| Name | Column* | Size | Comments |
|--|---------|------|---|
| Terms Multiplier | V | 5 | 00001 |
| Terms Divisor | W | 5 | 00004 |
| Fraction Rounding | X | 3 | 100 |
| Entitlement Multiples | Y | 5 | 00000 |
| Cash Adjustment | Z | 7 | 0000005 |
| Subject Entitlement Issuer Code | AA | 3 | BCK |
| Subject Entitlement Security Type Code | AB | 3 | R & 2 spaces (shown in below example as underscore) |
| Entitlement Adjustment Type Code | AC | 1 | M |
| Entitlement Action Code | AD | 1 | A |
| Entitlement Adjustment Date | AE | 8 | 20170221 |
| Entitlement Original Adjustment Date | AF | 8 | 00000000 |
| Object New Issuer Code | AG | 3 | 3 spaces |
| Object New Security Code | AH | 3 | 3 spaces |
| Application Capital | AI | 9 | 000010000 |
| Application Premium | AJ | 9 | 000000000 |
| Application Premium Sign | AK | 1 | 1 space |
| Subject ASX Issuer Code | AL | 3 | BCK |
| Subject ASX Security Code | AM | 3 | R & 2 Spaces (shown in below example as underscore) |
| ASX Adjustment Type Code | AN | 1 | A |
| ASX Action Code | AO | 1 | A |
| ASX Adjustment Date | AP | 8 | 20170306 |
| ASX Original Adjustment Date | AQ | 8 | 00000000 |
| Object ASX Issuer Code | AR | 3 | BCK |



| Name | Column* | Size | Comments |
|--------------------------|---------|------|----------|
| Object ASX Security Code | AS | 3 | N/A |
| Shares Issued | AT | 12 | N/A |
| Pari Passu Indicator | AU | 1 | N/A |
| Comment | AV | 60 | N/A |

EXAMPLE OF TXT FILE

Based on the signal data above, your NR Corp Action TXT file should look like below **except it should be all on one line.**

```
000001SIO000010134000000000NRUAU000000BCK6A201700201201702022017022420170303BCK___EA
2017020300000000BCKR__100001000041000000000005BCKR__MA2017022100000000_____
00001000000000000000__BCKR__AA2017030600000000BCK
```

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

Settlement Days January 2017

| Sunday | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|--------|-----------------------------------|---------|-----------|-----------------------------------|--------|----------|
| 1 | 2 ASX Closed New Year's Day | 3 | 4 | 5 | 6 | 7 |
| 8 | 9 | 10 | 11 | 12 | 13 | 14 |
| 15 | 16 | 17 | 18 | 19 | 20 | 21 |
| 22 | 23 | 24 | 25 | 26 ASX Closed Australia Day | 27 | 28 |
| 29 | 30 | 31 | | | | |

Settlement Days February 2017

| Sunday | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|--------|--------|---------|-----------|----------|--------|----------|
| | | | 1 | 2 | 3 | 4 |
| 5 | 6 | 7 | 8 | 9 | 10 | 11 |
| 12 | 13 | 14 | 15 | 16 | 17 | 18 |
| 19 | 20 | 21 | 22 | 23 | 24 | 25 |
| 26 | 27 | 28 | | | | |



CA Renounceable Corporate Action

314 bytes

| Name | Column* | Size | Comments |
|---------------------------------|---------|------|--|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010081 (note new ID provided by C&S Ops for each corp action) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | RR |
| Parent ISIN | G | 12 | AU000000BWC1 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20170201 |
| Record Date Parent | J | 8 | 20170202 |
| Despatch Date Rights | K | 8 | 20170203 |
| Cessation Date Rights | L | 8 | 20170206 |
| Record Date Rights | M | 8 | 20170213 |
| Renunciation Close Date | N | 8 | 20170213 |
| Application Close Date | O | 8 | 20170213 |
| Despatch Date New Shares | P | 8 | 20170217 |
| Subject Parent Issuer Code | Q | 3 | BWC |
| Subject Parent Security Code | R | 3 | 3 spaces (shown in below example as underscore) |
| Parent Adjustment Type Code | S | 1 | R |



| Name | Column* | Size | Comments |
|---------------------------------|---------|------|---|
| Parent Action Code | T | 1 | A |
| Parent Adjustment Date | U | 8 | 20170203 |
| Parent Original Adjustment Date | V | 8 | 00000000 |
| Object Rights Issuer Code | W | 3 | BWC |
| Object Rights Security Code | X | 3 | R & 2 spaces (shown in below example as underscore) |
| Calculation Method | Y | 1 | 1 |
| Terms Multiplier | Z | 5 | 00246 |
| Terms Divisor | AA | 5 | 00100 |
| Fraction Rounding | AB | 3 | 100 |
| Entitlement Multiples | AC | 5 | 00000 |
| Cash Adjustment | AD | 7 | 0000001 |
| Subject Rights Issuer Code | AE | 3 | BWC |
| Subject Rights Security Code | AF | 3 | R & 2 Spaces (shown in below example as underscore) |
| Rights Adjustment Type Code | AG | 1 | M |
| Rights Action Code | AH | 1 | A |
| Rights Adjustment Date | AI | 8 | 20170214 |
| Rights Original Adjustment Date | AJ | 8 | 00000000 |
| Object New Issuer Code | AK | 3 | BWC |
| Object New Security Code | AL | 3 | BN & 1 space |
| Application Capital | AM | 9 | 000000100 |
| Application Premium | AN | 9 | 000000000 |

| Name | Column* | Size | Comments |
|------------------------------|---------|------|--------------|
| Application Premium Sign | AO | 1 | 1 space |
| Subject ASX Issuer Code | AP | 3 | BWC |
| Subject ASX Security Code | AQ | 3 | BN & 1 space |
| ASX Adjustment Type Code | AR | 1 | A |
| ASX Action Code | AS | 1 | A |
| ASX Adjustment Date | AT | 8 | 20170222 |
| ASX Original Adjustment Date | AU | 8 | 00000000 |
| Object ASX Issuer Code | AV | 3 | BWC |
| Object ASX Security Code | AW | 3 | 3 spaces |
| Shares Issued | AX | 12 | N/A |
| Pari Passu Indicator | AY | 1 | N/A |
| Comment | AZ | 60 | N/A |

EXAMPLE OF TXT FILE

Based on the signal data above, your RR Corp Action TXT file should look like below **except it should be all on one line.**

```
000001SI0000010081000000000RRAU000000BWC1A20170201201702022017020320170206
20170213201702132017021320170217BWC__RA2017020300000000BWCRCR__100246
00100100000000000001BWCRCR__MA2017021400000000BWCBN__000000100000000000_
BWCBN_AA2017022200000000BWC__
```

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

