



Usage Guideline

ASX - AU - Austraclear SWIFT Messaging - V1 - DRAFT_535_Statement of Holdings (In- traday, Interim or End of Day)

ASX - AU - Austraclear SWIFT Messaging - 2015

This document describes a usage guideline restricting the base message **MT 535** (November 2015).

You can also consult [this information online](#).

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Restriction summary

This Usage Guideline restricts the MT 535 (November 2015) base message.

Restriction Type	See page
Reduce Multiplicity	n.a.
Ignore	n.a.
Text rules	n.a.
Conditional rules	n.a.
Fixed values	n.a.
Comments	5, 11, 12, 13, 14, 14, 14, 14, 16, 17, 18, 18, 18, 19, 21, 21, 23, 24, 26, 27
Annotations	n.a.
Extensions	n.a.
Synonyms	n.a.

Message Types

The following table lists all message types defined in this book.

For each message type, there is a short description, an indicator whether the message type requires authentication (Y/N), the maximum message length on input (2,000 or 10,000 characters), whether the use of the message requires registration with SWIFT for use in a message user group (Y) or not (N) and whether value date ordering (VDO) can be requested for the message (Y/N). Value date ordering criteria are described in the *Standards MT General Information*.

MT	MT Name	Purpose	Authen.	Max. Length	MUG	VDO
535	Statement of Holdings	Reports at a specified time, the quantity and identification of securities and other holdings which the account servicer holds for the account owner	Y	10000	N	N

MT 535 Statement of Holdings

MT 535 Scope

This message is sent by an account servicer (account servicing institution) to an account owner or its designated agent. The account servicer may be a local agent (sub-custodian) acting on behalf of their global custodian customer, or a custodian acting on behalf of an investment management institution or a broker/dealer.

This message is used to report, at a specified moment in time, the quantity and identification of financial instruments which the account servicer maintains for the account owner.

The statement is used to reconcile the books of the account owner and the account servicer for the specified safekeeping account or sub-safekeeping account.

This message may also be used to respond to a request for statement/status advice, that is, the MT 549 Request for Statement/Status Advice and to report that there are no holdings.

The custody statement is used for position reconciliation purposes. It may also report availability and/or the location of the financial instruments to facilitate trading and minimise settlement issues. The holdings may be valued or not.

The accounting statement provides valuations of a financial instrument portfolio with valuation details for each instrument; this information can either be audited or un-audited. It is typically not used for trading purposes.

MT 535 Format Specifications

Usage Guideline restrictions for this message

For sequence B1b Sub-balance:

- **Comment:**

We repeat SUBBAL due to the number of holdings per client.

MT 535 Statement of Holdings

Status	Tag	Qualifier	Generic Field Name	Detailed Field Name	Content/Options	No.
Mandatory Sequence A General Information						
M	16R			Start of Block	GENL	1
M	28E			Page Number/Continuation Indicator	5n/4!c	2
O	13A	STAT	Number Identification	Statement Number	:4!c//3!c	3
M	20C	SEME	Reference	Sender's Message Reference	:4!c//16x	4
M	23G			Function of the Message	4!c	5
M	98a	STAT	Date/Time	Statement Date/Time	A, C	6
---->						
M	22F	4!c	Indicator	(see qualifier description)	:4!c/[8c]/4!c	7

Status	Tag	Qualifier	Generic Field Name	Detailed Field Name	Content/Options	No.

----> Optional Repetitive Subsequence A1 Linkages						
M	16R			Start of Block	LINK	8
O	13a	LINK	Number Identification	Linked Message	A, B	9
M	20C	RELA	Reference	Related Message Reference	:4!c//16x	10
M	16S			End of Block	LINK	11
---- End of Optional Repetitive Subsequence A1 Linkages						
M	97A	SAFE	Account	Safekeeping Account	:4!c//35x	12
---->						
M	17B	4!c	Flag	(see qualifier description)	:4!c//1!a	13

M	16S			End of Block	GENL	14
End of Mandatory Sequence A General Information						
----> Optional Repetitive Sequence B Sub-safekeeping account						
M	16R			Start of Block	SUBSAFE	15
O	97a	SAFE	Account	Safekeeping Account	A, B	16
O	17B	ACTI	Flag	Activity Flag	:4!c//1!a	17
----> Optional Repetitive Subsequence B1 Financial Instrument						
M	16R			Start of Block	FIN	18
M	35B			Identification of the Financial Instrument	[ISIN1!e12!c] [4*35x]	19
Optional Subsequence B1a Financial Instrument Attributes						
M	16R			Start of Block	FIA	20
M	16S			End of Block	FIA	21
End of Optional Subsequence B1a Financial Instrument Attributes						
---->						
M	93B	AGGR	Balance	Aggregate Balance	:4!c/[8c]/4!c/ [N]15d	22

----> Optional Repetitive Subsequence B1b Sub-balance						
M	16R			Start of Block	SUBBAL	23
M	93C	OTHR	Balance	Unclassified	:4!c//4!c/4!c/ [N]15d	24
M	16S			End of Block	SUBBAL	25
---- End of Optional Repetitive Subsequence B1b Sub-balance						
O	19A	HOLD	Amount	Holding Value	:4!c//[N]3!a15d	26

Status	Tag	Qualifier	Generic Field Name	Detailed Field Name	Content/Options	No.
M	16S			End of Block	FIN	27
---- End of Optional Repetitive Subsequence B1 Financial Instrument						
M	16S			End of Block	SUBSAFE	24
---- End of Optional Repetitive Sequence B Sub-safekeeping account						
----> Optional Repetitive Sequence C Additional Information						
M	16R			Start of Block	ADDINFO	29
O	19A	HOLP	Amount	Total Holdings Value of Page	:4!c//[N]3!a15d	30
M	16S			End of Block	ADDINFO	31
---- End of Optional Repetitive Sequence C Additional Information						
M = Mandatory, O = Optional						

MT 535 Network Validated Rules

- C1** If the Activity Flag (field :17B:ACTI) in sequence A General Information is N, then sequence B must not be present. Otherwise, sequence B is mandatory (Error code(s): E66).

Sequence A if field :17B::ACTI is ...	Sequence B is ...
N	Not allowed
Y	Mandatory

- C2** If the statement refers to an accounting statement, that is, if field :22F::STTY//ACCT is present, then at least one occurrence of subsequence B1 is required.

This check only applies when sequence B Sub-safekeeping Account is present as per rule C1, , , that is, when in sequence A, field :17B::ACTI = Y. (Error code(s): E67).

Sequence A if field :22F::STTY//ACCT is ...	Sequence B1 is ...
Present, and DSS is NOT present in field :22F::STTY//ACCT	Mandatory, that is, minimum one occurrence must be present in the message. ⁽¹⁾
Not Present, or DSS present in field :22F::STTY//ACCT	Optional

(1) B1 is NOT mandatory in every occurrence of sequence B.

- C3** In each occurrence of subsequence B1, if NO subsequence B1b is present, then both fields Price (field :90a:) and Holding Value (field :19A::HOLD) must be specified in subsequence B1.

In each occurrence of subsequence B1, if one or more occurrences of subsequence B1b are present, then both fields Price (field :90a:) and Holding Value (field :19A::HOLD) must be specified in each occurrence of subsequence B1b.

This check only applies when the statement refers to an accounting statement (see rule C2), that is, if field :22F::STTY//ACCT is present (Error code(s): E82).

In every occurrence of subsequence B1 if subsequence B1b is...	Then, in the same occurrence of subsequence B1 field :90a: is...	And in the same occurrence of subsequence B1 field :19A::HOLD is...	And in every occurrence of subsequence B1b field :90a: is...	And in every occurrence of subsequence B1b field :19A::HOLD is...
Not present	Mandatory	Mandatory	Not applicable	Not applicable
Present once or more	Optional	Optional	Mandatory	Mandatory

- C4** If the message is a cancellation, that is, Function of the Message (field 23G) is CANC, then subsequence A1 (Linkages) must be present at least once in the message, and in one and only one occurrence of A1, field :20C::PREV must be present; consequently, in all other occurrences of A1, field :20C::PREV is not allowed (Error code(s): E08).

Sequence A if field :23G: is ...	Then subsequence A1 is ...	And field :20C::PREV is ...
CANC	Mandatory (minimum one occurrence of A1 must be present)	Mandatory in one occurrence of subsequence A1, and not allowed in all other occurrences of subsequence A1
NEWM	Optional	Not applicable

- C5** If in sequence A field :17B::CONS=Y, then in every occurrence of sequence B field :97a::SAFE and field :17B::ACTI are mandatory (Error code(s): E56).

This check only applies when sequence B Sub-safekeeping Account is present per rule C1, that is, in sequence A, field :17B::ACTI=Y.

Sequence A if field :17B::ACTI is ...	Then sequence B is ...	And sequence A if field :17B::CONS is ...	Then in every occurrence of sequence B field :97a::SAFE and field :17B::ACTI are ...
Y	Mandatory that is minimum one occurrence	Y	Mandatory
		N	Not allowed
N	Not allowed	Not applicable	Not applicable

- C6** If the Activity Flag (field :17B::ACTI) in sequence B Sub-safekeeping Account indicates no information to be reported, that is, N, then subsequence B1 Financial Instrument must not be present. subsequence B1 Financial Instrument is otherwise mandatory (Error code(s): E69).

This check only applies when sequence B Sub-safekeeping Account is present per rule C1, that is, in sequence A, field :17B::ACTI=Y.

Sequence A if field :17B::ACTI is ...	Then sequence B is ...	In every occurrence of sequence B if field :17B::ACTI is ...	In the same occurrence of sequence B then subsequence B1 is ...
Y	Mandatory that is minimum one occurrence	Y	Mandatory that is minimum one occurrence
		N	Not allowed

Sequence A if field :17B::ACTI is ...	Then sequence B is ...	In every occur- rence of sequence B if field :17B::ACTI is ...	In the same oc- currence of se- quence B then sub- sequence B1 is ...
		Not present	Mandatory that is mini- mum one occurrence
N	Not allowed	Not applicable	Not applicable

- C7** If field :94a: is present in sequence B, then field :93B::AGGR and fields :94a::SAFE are not allowed in any occurrence of subsequence B1b (Error code(s): D03).

Sequence B if field :94a: is ...	Then in any occurrence(s) of subsequence B1b, field :93B::AGGR and field :94a::SAFE are ...
Present	Not allowed
Not present	Optional

- C8** If field :93B::AGGR is present in subsequence B1b, then :field 94a::SAFE must be present in the same subsequence B1b sequence (Error code(s): D04).

Subsequence B1b if field :93B::AGGR is ...	Then in same subsequence B1b, field :94a::SAFE is ...
Present	Mandatory
Not present	Optional

- C9** In each occurrence of subsequence B1b, if field :93B::AVAI or/and :93B::NAVL is/are present, then :field :93B::AGGR must be present in the same occurrence of subsequence B1b (Error code(s): D05).

- C10** In each occurrence of subsequence B1, field :93B::AGGR cannot appear more than twice (maximum two occurrences). When repeated, one occurrence must have Quantity Type Code FAMT and the other occurrence must have Quantity Type Code AMOR (Error code(s): C71).

Subsequence B1 if field :93B::AGGR is ...	Then one occurrence of :93B::AGGR must be ...	And the other occurrence of :93B::AGGR must be ...
Repeated	:93B::AGGR//FAMT and DSS must not be present	:93B::AGGR//AMOR and DSS must not be present
Not repeated	Not applicable	Not applicable

MT 535 Usage Rules

- This statement is used by the account servicer to report on holdings it services for the account owner.
- The frequency of the statement must be bilaterally agreed between the account servicer and the account owner.

- The statement can be sent reflecting all outstanding holding information or may contain only changes since the previously sent statement.
- Since a SWIFT message as sent is restricted to the maximum input message length, several messages may be needed to accommodate all the information.

MT 535 Field Specifications

1. Field 16R: Start of Block

FORMAT

Option R 16c

PRESENCE

Mandatory in mandatory sequence A

DEFINITION

This field specifies the start of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

GENL General Information

2. Field 28E: Page Number/Continuation Indicator

FORMAT

Option E 5n/4!c (Page Number)(Continuation Indicator)

PRESENCE

Mandatory in mandatory sequence A

DEFINITION

This field provides the page number of the message (within a statement) and a continuation indicator to indicate that the statement is to continue or that the message is the last page of the statement.

CODES

Continuation Indicator must contain one of the following codes (Error code(s): T97):

LAST	Last Page	Last page of a statement with more than one page.
MORE	Intermediate Page	Intermediate page of a statement which contains additional pages.
ONLY	Only Page	Only page of the statement.

3. Field 13A: Number Identification: Statement Number

FORMAT

Option A :4!c//3!c (Qualifier)(Number Id)

PRESENCE

Optional in mandatory sequence A

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	O	STAT	N		A	Statement Number

DEFINITION

This qualified generic field specifies:

STAT Statement Number Sequential number assigned to the statement.

USAGE RULES

Format Option J is only to be used in a DELTA statement (22F::CODE//DELT).

If the statement has multiple pages, the Statement Number must remain the same through all the pages. It is a unique reference to the Statement.

Two statements of the same type sent one after the other to the same Receiver in relation to the same Safekeeping Account must have different Statement Numbers. For example, a daily statement sent on day 1 would have statement number 13A::STAT//001, on day 2, :13A::STAT//002 ...

USAGE GUIDELINES

Additional rule(s) for this field

- **Comment:**

ASX will use Option A
:13A::STAT//Statement Number

The statement number will be a 3 digit code that increments for every MT535 generated in the entire system regardless of participant.

4. Field 20C: Reference: Sender's Message Reference

FORMAT

Option C :4!c//16x (Qualifier)(Reference)

PRESENCE

Mandatory in mandatory sequence A

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	M	SEME	N		C	Sender's Message Reference

DEFINITION

This qualified generic field specifies:

SEME	Sender's Message Reference	Reference assigned by the Sender to unambiguously identify the message.
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NETWORK VALIDATED RULES

Reference must not start or end with a slash '/' and must not contain two consecutive slashes '/' (Error code(s): T26).

USAGE GUIDELINES**Additional rule(s) for this field**

- **Comment:**
:20C::SEME//Sender's Reference

5. Field 23G: Function of the Message

FORMAT

Option G 4!c (Function)

PRESENCE

Mandatory in mandatory sequence A

DEFINITION

This field identifies the function of the message.

CODES

Function must contain one of the following codes (Error code(s): T86):

NEWM	New	New message.
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USAGE RULES

To cancel a previously sent message, Function is CANC. The reference in the linkages sequence must contain the Sender's reference of the message to be cancelled. A copy of at least the mandatory fields of the message to be cancelled must be present; optional fields do not need to be present for SWIFT validation.

USAGE GUIDELINES**Additional rule(s) for this field**

- For option 23G

– Comment:

ASX will only send New Messages
:23G:NEWM

6. Field 98a: Date/Time: Statement Date/Time

FORMAT

Option A :4!c//8!n (Qualifier)(Date)
Option C :4!c//8!n6!n (Qualifier)(Date)(Time)

PRESENCE

Mandatory in mandatory sequence A

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	M	STAT	N		A, C	Statement Date/Time

DEFINITION

This qualified generic field specifies:

STAT Statement Date/Time Date/time at which the statement is based (reflecting the situation at that date/time).

NETWORK VALIDATED RULES

Date must be a valid date expressed as YYYYMMDD (Error code(s): T50).

Time must be a valid time expressed as HHMMSS (Error code(s): T38).

UTC Indicator must be a valid time expressed as HH[MM] (Error code(s): T39).

Sign must not be used when UTC Indicator is equal to all zeroes (Error code(s): T14).

7. Field 22F: Indicator

FORMAT

Option F :4!c/[8c]/4!c (Qualifier)(Data Source Scheme)(Indicator)

PRESENCE

Mandatory in mandatory sequence A

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	M	SFRE	N		F	Statement Frequency Indicator

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
2	M	CODE	N		F	Complete/Updates Indicator
3	M	STTY	N		F	Statement Type
4	M	STBA	N		F	Statement Basis

DEFINITION

This qualified generic field specifies:

CODE	Complete/Updates Indicator	Specifies whether the statement is complete or contains changes only.
<p>Usage Guideline restrictions for this qualifier</p> <ul style="list-style-type: none"> Comment: ASX will always include :22F::CODE//COMP 		
SFRE	Statement Frequency Indicator	Specifies the frequency of the statement.
<p>Usage Guideline restrictions for this qualifier</p> <ul style="list-style-type: none"> Comment: :22F::SFRE//Frequency Where the frequency can be either: INDA for an intraday request in response to a MT549, or DAIL for Daily in response to a standing order. 		
STBA	Statement Basis	Specifies the type of balances on which the statement is prepared.
<p>Usage Guideline restrictions for this qualifier</p> <ul style="list-style-type: none"> Comment: ASX will always include :22F::STBA//SETT 		
STTY	Statement Type	Specifies the usage purpose of the statement of holding.
<p>Usage Guideline restrictions for this qualifier</p> <ul style="list-style-type: none"> Comment: ASX will always include :22F::STTY//CUST 		

CODES

If Qualifier is SFRE and Data Source Scheme is not present, Indicator must contain one of the following codes (Error code(s): K22):

DAIL	Daily	Statement is sent daily (once per day, end-of-day).
INDA	Intra-Day	Statement is sent intra-day (multiple reports during the day).

CODES

If Qualifier is CODE and Data Source Scheme is not present, Indicator must contain one of the following codes (Error code(s): K22):

COMP	Complete	Statement gives complete information (including information (positions, instruction statuses) which is unchanged).
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CODES

If Qualifier is STTY and Data Source Scheme is not present, Indicator must contain one of the following codes (Error code(s): K22):

CUST	Custody	Statement is a custody statement.
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CODES

If Qualifier is STBA and Data Source Scheme is not present, Indicator must contain one of the following codes (Error code(s): K22):

SETT	Settled	Statement is based on actual settlement date positions.
------	---------	---

8. Field 16R: Start of Block**FORMAT**

Option R	16c
----------	-----

PRESENCE

Mandatory in optional subsequence A1

DEFINITION

This field specifies the start of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

LINK	Linkages
------	----------

9. Field 13a: Number Identification: Linked Message**FORMAT**

Option A	:4!c//3!c	(Qualifier)(Number Id)
Option B	:4!c/[8c]/30x	(Qualifier)(Data Source Scheme)(Number)

PRESENCE

Optional in optional subsequence A1

QUALIFIER

(Error code(s): T89)

SAFE Safekeeping Account Account where financial instruments are maintained.

Usage Guideline restrictions for this qualifier

- **Comment:** (empty)

USAGE GUIDELINES

Additional rule(s) for this field

- **Comment:**
ASX will always use Option A
SAFE//ParticipantSub Account

13. Field 17B: Flag

FORMAT

Option B :4!c//1!a (Qualifier)(Flag)

PRESENCE

Mandatory in mandatory sequence A

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	M	ACTI	N		B	Activity Flag
2	M	CONS	N		B	Sub-safekeeping Statement

DEFINITION

This qualified generic field specifies:

ACTI Activity Flag Indicates whether holdings are reported in this statement.

Usage Guideline restrictions for this qualifier

- **Comment:**

Activity Flag - Y if records to report
:ACTI//Y

CONS Sub-safekeeping
 Statement

Indicates whether the statement reports holdings at subsafekeeping account level.

Usage Guideline restrictions for this qualifier

- **Comment:**
:CONS//N

CODES

Flag must contain one of the following codes (Error code(s): K17):

N	No	No.
Y	Yes	Yes.

14. Field 16S: End of Block

FORMAT

Option S 16c

PRESENCE

Mandatory in mandatory sequence A

DEFINITION

This field specifies the end of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

GENL	General Information
------	---------------------

15. Field 16R: Start of Block

FORMAT

Option R 16c

PRESENCE

Mandatory in optional sequence B

DEFINITION

This field specifies the start of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

SUBSAFE Sub-safekeeping account

16. Field 97a: Account: Safekeeping Account

FORMAT

Option A :4!c//35x (Qualifier)(Account Number)
 Option B :4!c/[8c]/4!c/35x (Qualifier)(Data Source Scheme)(Account Type Code)
 (Account Number)

PRESENCE

Conditional (see rule C5) in optional sequence B

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	O	SAFE	N		A, B	Safekeeping Account

DEFINITION

This qualified generic field specifies:

SAFE Safekeeping Account Account where financial instruments are maintained.

In option B, Account Type Code specifies the type of account needed to fully identify the account.

CODES

In option B, , if Data Source Scheme is not present, Account Type Code must contain one of the following codes (Error code(s): K97):

ABRD	Abroad	Financial instruments are held in a safekeeping account abroad.
CEND	Centralised	Financial instrument in the safekeeping account are held in one location.
DVPA	Cash/DVP	Safekeeping account is used for settlement on delivery or collect on delivery basis.
MARG	Margin	Account is used when financing is by the broker/dealer.
PHYS	Physical	Financial instruments in the safekeeping account are in physical form.
SHOR	Short Sale	Account is used for short sale orders.

USAGE RULES

This field reports on a sub-safekeeping account and is used for a consolidated statement when bilaterally agreed between sender and receiver.

USAGE GUIDELINES**Additional rule(s) for this field**

- **Comment:**
This field will not be present

17. Field 17B: Flag: Activity Flag**FORMAT**

Option B :4!c//1!a (Qualifier)(Flag)

PRESENCE

Conditional (see rule C5) in optional sequence B

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	O	ACTI	N	C5	B	Activity Flag

DEFINITION

This qualified generic field specifies:

ACTI Activity Flag Indicates whether holdings are reported in this statement.

CODES

Flag must contain one of the following codes (Error code(s): K17):

N No No.
Y Yes Yes.

USAGE GUIDELINES**Additional rule(s) for this field**

- **Comment:**
:17B:ACTI//Y

18. Field 16R: Start of Block**FORMAT**

Option R 16c

PRESENCE

Mandatory in optional subsequence B1

DEFINITION

This field specifies the start of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

FIN	Financial Instrument
-----	----------------------

19. Field 35B: Identification of the Financial Instrument

FORMAT

Option B	[ISIN1!e12!c]	(Identification of Security)
	[4*35x]	(Description of Security)

PRESENCE

Mandatory in optional subsequence B1

DEFINITION

This field identifies the financial instrument.

NETWORK VALIDATED RULES

At least Identification of a Security (Subfield 1) or Description of Security (Subfield 2) must be present; both may be present (Error code(s): T17).

ISIN is used at the beginning of Identification of Security (Subfield 1) and must be composed of upper-case letters only (Error code(s): T12).

USAGE RULES

When used in Description of Security (Subfield 2), codes must start and end with a slash '/'.

When an ISIN identifier is not used it is strongly recommended that one of the following codes be used as the first characters of the Description of Security (Subfield 2):

[/2!a/]	The ISO two-digit country code, followed by the national scheme number.
[/TS/]	Followed by the ticker symbol.
[/XX/]	Bilaterally agreed or proprietary scheme which may be further identified by a code or short description identifying the scheme used.
[/4!c/]	Code identifying the type of security identifier used. This code must be one published by ISO 20022 (ExternalFinancialInstrumentIdentificationTypeCode).

It is strongly recommended that the ISIN be used.

USAGE GUIDELINES

Additional rule(s) for this field

- **Comment:**

ISIN code followed by optional ISIN description, coupon rate and maturity date if available
 :35B:ISIN AU0000XQLQC8
 QLQC81 QLDT
 FRN 3MTH BBSW + 0.32%
 6.100014-JAN-2011
 If description is not present, rate and maturity will move up to 3rd line
 Please note that for Discount Securities there will be no description unless there are distinguishing marks on the security.

20. Field 16R: Start of Block

FORMAT

Option R 16c

PRESENCE

Mandatory in optional subsequence B1a

DEFINITION

This field specifies the start of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

FIA Financial Instrument Attributes

21. Field 16S: End of Block

FORMAT

Option S 16c

PRESENCE

Mandatory in optional subsequence B1a

DEFINITION

This field specifies the end of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

FIA Financial Instrument Attributes

22. Field 93B: Balance: Aggregate Balance

FORMAT

Option B :4!c/[8c]/4!c/[N]15d (Qualifier)(Data Source Scheme)(Quantity Type Code)
(Sign)(Balance)

PRESENCE

Mandatory in optional subsequence B1

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	M	AGGR	N	C10	B	Aggregate Balance

DEFINITION

This qualified generic field specifies:

AGGR Aggregate Balance Total quantity of financial instruments for the referenced holding.

CODES

If Data Source Scheme is not present, Quantity Type Code must contain one of the following codes (Error code(s): K93):

FAMT Face Amount Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

NETWORK VALIDATED RULES

The integer part of Balance must contain at least one digit. A decimal comma ',' is mandatory and is included in the maximum length (Error code(s): T40, T43).

When Sign is present, Balance must not be zero (Error code(s): T14).

USAGE RULES

Sign must be present only when Balance is negative.

If the Available Balance and Not Available Balance are both provided, the total of the Available Balance and the Not Available Balance must equal the Aggregate Balance provided in the same sequence.

USAGE GUIDELINES

Additional rule(s) for this field

- **Comment:**

:93B::AGGR//FAMT/Aggregate Balance

23. Field 16R: Start of Block

FORMAT

Option R 16c

PRESENCE

Mandatory in optional subsequence B1b

DEFINITION

This field specifies the start of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

SUBBAL Sub-balance

24. Field 93C: Balance: Unclassified

FORMAT

Option C :4!c//4!c/4!c/[N]15d (Qualifier)(Quantity Type Code)(Balance Type Code)
(Sign)(Balance)

PRESENCE

Mandatory in optional subsequence B1b

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	M	OTHR	N		C	Unclassified

DEFINITION

This qualified generic field specifies:

OTHR Unclassified Balance of financial instrument that cannot be categorised, that is, is not identified with one of the existing sub-balance types.

CODES

Quantity Type Code must contain one of the following codes (Error code(s): K93):

FAMT Face Amount Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

CODES

Balance Type Code must contain one of the following codes (Error code(s): K93):

AVAI	Available	Sub-balance reported quantity is available.
------	-----------	---

NETWORK VALIDATED RULES

The integer part of Balance must contain at least one digit. A decimal comma ',' is mandatory and is included in the maximum length (Error code(s): T40, T43).

When Sign is present, Balance must not be zero (Error code(s): T14).

USAGE RULES

Sign must be present only when Balance is negative.

If the Available Balance and Not Available Balance are both provided, the total of the Available Balance and the Not Available Balance must equal the Aggregate Balance provided in the same sequence.

Eligible for Collateral Purposes subbalance (:93B::COLA) is only to be used in (I)CSD-participant communication or if bilaterally agreed between the Sender and Receiver.

USAGE GUIDELINES

Additional rule(s) for this field

- **Comment:**

ASX will provide Option C only
93C::OTHR//FAMT//AVAI/Balance

EXAMPLES

The below is an example of the optional use of sub-balance qualifier AWAS (Available With No Additional Status).

In the below scenario of a custody (22F::STTY//CUST) settled dated (:22F::STBA//SETT) statement, the account owner holds 12300 units of equity B:

- 300 units are not available because they are blocked,
- 12000 units are considered available
 - 2000 are pledged but reported available
 - 10000 are available with no specific status.

```
:93B::AGGR//UNIT/12300,
:93B::AVAI//UNIT/12000,
:93B::NAVL//UNIT/300,
:16R:SUBBAL
:93C::BLOK//UNIT/NAVL/300,
:16S:SUBBAL
:16R:SUBBAL
:93C::PLED//UNIT/AVAI/2000,
:16S:SUBBAL
```

:16R:SUBBAL
 :93B::AWAS//UNIT/10000,
 :16S:SUBBAL

25. Field 16S: End of Block

FORMAT

Option S 16c

PRESENCE

Mandatory in optional subsequence B1b

DEFINITION

This field specifies the end of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

SUBBAL Sub-balance

26. Field 19A: Amount: Holding Value

FORMAT

Option A :4!c/[N]3!a15d (Qualifier)(Sign)(Currency Code)(Amount)

PRESENCE

Optional in optional subsequence B1

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	O	HOLD	N	C3	A	Holding Value

DEFINITION

This qualified generic field specifies:

HOLD Holding Value Value of an individual financial instrument holding within a safekeeping account.

USAGE GUIDELINES

Additional rule(s) for this field

- Comment:

:19A::HOLD//AUD Holding Amount

27. Field 16S: End of Block

FORMAT

Option S 16c

PRESENCE

Mandatory in optional subsequence B1

DEFINITION

This field specifies the end of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

FIN Financial Instrument

24. Field 16S: End of Block

FORMAT

Option S 16c

PRESENCE

Mandatory in optional sequence B

DEFINITION

This field specifies the end of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

SUBSAFE Sub-safekeeping account

29. Field 16R: Start of Block

FORMAT

Option R 16c

PRESENCE

Mandatory in optional sequence C

DEFINITION

This field specifies the start of a block and the name of that block.

CODES

This field must contain the following code (Error code(s): T92):

ADDINFO Additional Information

30. Field 19A: Amount: Total Holdings Value of Page**FORMAT**

Option A :4!c//[N]3!a15d (Qualifier)(Sign)(Currency Code)(Amount)

PRESENCE

Optional in optional sequence C

QUALIFIER

(Error code(s): T89)

Order	M/O	Qualifier	R/N	CR	Options	Qualifier Description
1	O	HOLP	N		A	Total Holdings Value of Page

DEFINITION

This qualified generic field specifies:

HOLP Total Holdings Value of Page Total value of holdings reported in this message.

NETWORK VALIDATED RULES

The integer part of Amount must contain at least one digit. A decimal comma is mandatory and is included in the maximum length. The number of digits following the comma must not exceed the maximum allowed for the specified currency (Error code(s): C03, T40, T43).

Currency Code must be a valid ISO 4217 currency code (Error code(s): T52).

When Sign is present, Amount must not be zero (Error code(s): T14).

USAGE RULES

Sign must be present when Amount is negative.

Total Eligible Collateral Value (19A::TOVA) is only to be used in (I)CSD-participant communication or if bilaterally agreed between the Sender and Receiver.

31. Field 16S: End of Block**FORMAT**

Option S 16c

PRESENCE

Mandatory in optional sequence C

DEFINITION

This field specifies the end of a block and the name of that block.

CODES

This field must contain the following code (Error code(s) : T92):

ADDINFO Additional Information

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