

ASX Austraclear System User Guide



Information Classification – Public

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1 Introduction

The ASX Austraclear System combines best practice settlement and state-of-the-art technology to provide a wide range of industry-leading services to financial markets. Along with the core Central Securities Depository (CSD) and settlement services, the ASX Austraclear System provides a range of issuer and market services.

The System provides seamless DvP settlement ensuring instant and irrevocable exchange of cash and security ownership. This increases client protection, improves settlement risk mitigation and makes trade administration faster and more cost-effective. It also provides a wide range of depository, registration, cash transfer and settlement services for debt instrument securities in financial markets in Australia and the Asia-Pacific region.

The ASX Austraclear System has a large participant base and is widely used. It settles more than A\$80 billion transactions per day through a real-time link to the Reserve Bank of Australia's (RBAs) Real Time Gross Settlement (RTGS) system.

The ASX Austraclear System provides the following services:

Central Securities Depository

The CSD:

- Provides a wide range of depository and settlement services for fixed income securities, as well as acting as custodian to more than 85 per cent of commercial paper (unsecured, short term debt instrument) issued in Australia.
- Features full delivery versus payment functionality using BIS Model 1DvP (Delivery Vs Payment) (simultaneous cash and security transfer), as well as electronic or physical lodgement services.

Registry, Issuing and Paying Services

This is a single integrated service enabling the registration, issuing, lodgement, trade settlement and coupon and redemption distribution of all Australian dollar denominated debt products.

Cash Trades

This service allows the settlement of cash directly between Austraclear participants through the RBAs RTGS system. For example, 11am and 24hr call cash deposits.

Market Services

The ASX Austraclear System also provides a number of other market services, including support for energy markets and electronic conveyancing.

2 Generic Functions

Generic functions for using the ASX Austraclear System include:

- Logging On/Off
- Common Application Features
- Generic Toolbar Functionality.

2.1 Logging On/Off

The ASX Austraclear System is a web based application. An internet browser is required to access the application. However, based on the type of user, the process for application login is different.

The following applies when logging on to the system:

- Windows 7and 8 is supported with Internet Explorer versions 8, 9, 10 and 11
- A user's account is locked after three failed logon attempts
- Timeouts occur after 30 minutes of inactivity.

When logging on for the first time, a temporary password is used that has been provided by the System Administrator. A new password needs to be created and used for subsequent logons.

2.1.1 ASXNet Users Login

2.1.1.1 Initial Login

To login for the first time:

1. Enter <u>https://asx.austraclear.com.au</u> into a new browser window.

This opens the ASX Austraclear System home page.



2. Click **Production Environment**.

Clicking Production Environment launches the main page of the application.

3. Enter the username, temporary password and certificate details in the corresponding fields, and click **Log on**.

Clicking Log on opens the Change Password window.

- 4. Enter the temporary password, the new password, and confirm the new password in the required fields.
- 5. Click **Start** and then **Log on**.

The system validates the login and digital certificate, and if successful, the main menu is displayed.

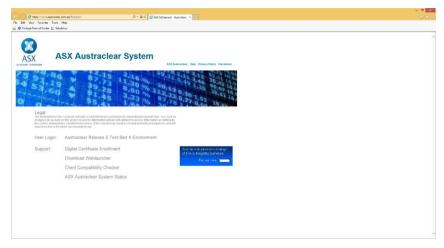
Selecting Cancel removes the user from this procedure with no changes saved.

2.1.1.2 Application Login

To login to the application:

1. Enter <u>https://asx.austraclear.com.au</u> into a new browser window.

This opens the ASX Austraclear System home page.



2. Click **Production Environment**.

Clicking **Production Environment** launches the main page of the application.

× Austraclear
acho20jm
(No certificate)

- 3. Enter the username, password and certificate details in the corresponding fields.
- 4. Click Log on.

The system validates the login and digital certificate, and if successful, the main menu is displayed. Selecting **Cancel** removes the user from this procedure with no changes saved.

\mathbf{V} /	\uctr	alear
	1USU	aclear
Username:	acho2035	
Password:		
Certificate:	ACLEAR ACHO)2035 MICF 💌
*	Log on	Cancel
	Username:	Username: acho2035 Password: ••••••• Certificate: ACLEAR ACHO

2.1.2 Internet Users Login

2.1.2.1 Initial Login

To logon to the application:

1. Enter <u>https://asx.austraclear.com.au</u> into a new browser window.

EXIGO™	WebLaunch	ner	×	
ASX	Aust	raclea	r	
	/ 10/20	Incica		
Certificate: ACLEAR ACHO2035 MICH				
û	Start .	Cancel		
	ASX	ASX Aust Certificate: ACLEAR ACH		

This opens the *Client Authentication* screen. Ensure that the correct certificate is selected and that it **matches** the User ID.Select the required digital certificate from the certificate list, and click **OK**. This opens the ASX Austraclear System home page.

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large Control Center 🔄 Salest		
E.I.		
A.	SX Austraclear System	
SX A		
IT CORPORATION	ASX Auxitaciaar Isalp Privace Policy Disclamar	
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9- '96	87151 1146	
-3.19	1	
-93.6d		
	5 5 7 6 7 7 7 7 7 7 7 7 7 7	
	INSURFERENCE SANSIEURI AN ENVIRONMENTE	
Legal:		
instrighted an account o	i compare network is contributed and is protected by international oppinger, takes. You must be in this splatnet in access with internation and are contributed and and the splatnet of p	
the system administration	circ Chaudhomed access offlie network imay result in emininal and consequences and will dent permissiable by law.	
User Login:	Austraclear Release 5 Test Bed A Environment	
Support:	Digital Certificate Enrolment Austraction provides a range	
	of FA& Registry Services	
	Download Weblauncher Endouterer	
	Client Compatibility Checker	
	ASX Austraclear System Status	
Clic	k ASX Austraclear Production Environment.	

This opens the main sign-in page.

♦	Austracl	ear EXIGO	×
X	ASX /	Austr	aclear
		_	ucrear
	Username:	acho2035	
	Password:	•••••	
	Certificate:	ACLEAR ACHO	02035 MICF
	×	Log on	Cancel
ASX Austradea	r Release 5 Testbed A		

3. Enter the username, password and digital certificate in the corresponding fields.

For **first time users** the system Administrator provides a **temporary** password. Enter this password in the *Password* field.

Austracle	ar EXIGO	×
i	A password change is required for this account.	
	ОК	

This opens the *Change Password* screen.Enter the temporary password, new password and confirm the new password in the corresponding fields.

🚫 Austraclear EXIGO -	Change Password 🛛 🗙			
Change password Please type your old and new passwords and confirm to change the system password				
Username:	ACH02094			
Old Password:				
New Password:				
Confirm New Password:				
	OK Cancel			

4. Click **OK**.

This opens a Login dialogue box.

Austraclear EXIGO	
X ASX Austraclear	
Username: acho2060 Password: ••••••• Certificate: (No certificate)	
Proxy server settings Username: Password: Domain: Domain:	
EXIGO™ WebLauncher ★ ASX Austraclear	×
Certificate: (No certificate)	

Click the double down arrow to display the authentication field.

5. Enter the four digit PIN and the six digit code from the RSA SecurID token in the *Passcode* field.

Once a token has been received, the four digit PIN is emailed to users.

The six digit code appears on the display panel of the RSA SecurID token. This code is constantly changing.

Example: If the PIN provided is 2453, and the RSA SecurID token code is 396731, then the *Passcode* would be 2453396731.



6. Click Log on.

Once **Log on** has been clicked, the system validates the login details and digital certificate. If the login is successful, the main menu appears.

K	>	ASX Austraclear [ACHO2035] TEST SYSTEM – 🗆 🗙															
	File	Viev	w	Sub Pa	ticipa	nts	Holdings	Trades	Settlement	Stock Lending	Series	Administration	Window	Help			
	Defau	lt Ac	ting	for (F9)	: 4	АСНО	20		•								
E	KIGO I	Insta	nce:	asxta.	austra	dear	.com.au										///

If the logon is not successful, refer to the <u>Frequently Asked Questions</u>. If the issue is not resolved, contact ASX Austraclear on <u>austraclear@asx.com.au</u>, 1300 362 257 (within Australia) or +61 2 8298 8474 (outside Australia).

Click Cancel to remove the user and no changes are saved.

2.1.3 Application Logout

Logging out of the application closes the application and ensures that other users can not use the login details. To log out of the system:

1. Select File>Exit from the main menu.

This opens the system logout window.

A	5X Austraclear [ACHO2	203	M] TEST S'	YSTEM	
File	View Sub Participant	s	Holdings	Trades	Sett
	Change <u>P</u> assword				
	E <u>x</u> it	ю	20		·
EXIG) Instance: qcexmt203				
2.	Click Yes.				
Austra	iclear EXIGO				\times
	Ny closina this window, you u	will lo	a out from the	Austraclear	

1	By closing this window, you will log out from the Austraclear EXIGO application.
	Are you sure you would like to exit?
	Yes No

Clicking Yes closes the application and logs the user out.

2.1.4 Changing User Passwords

The following conditions apply for all user passwords:

- Users are prompted to change their passwords every 90 days
- Ad-hoc changes of passwords can be performed by users
- Passwords must contain a combination of alpha and numeric characters as well as lower and uppercase letters. The system remembers the previous 24 passwords used
- Passwords must be a minimum of eight characters and a maximum of 14 characters.

To change a user password:

1. Select File>Change Password.

This opens the Change Password dialogue box.

2. Enter the old password, new password and confirm the new password in the corresponding fields.

🚫 Austraclear EXIGO -	Change Password 🛛 🗙
Change password Please type your old a confirm to change the	and new passwords and 9 system password
Username:	ACH02094
Old Password:	•••••
New Password:	•••••
Confirm New Password:	•••••
	OK Cancel

3. Click OK.

Once **OK** has been clicked, the system validates the changes. If there are any errors, the system will not allow the password to be changed.

2.1.5 Viewing and Selecting the Required Proxy

Once a user is logged on to the ASX Austraclear System the required proxy can be selected. Select the required proxy from the *Default Acting for (F9)* pull-down menu. For more information on allocating proxies, see *Viewing Available Roles for a Proxy*.

>	ASX Austraclear [ACHO2035] TEST SYSTEM	- = ×
File	View Sub Participants Holdings Trades Settlement Stock Lending Series Administration	Window Help
Defau	ault Acting for (F9): ACHO20	
EXIGO	Instance: asxta.aus(ACHO (PROXY ACHO ACHO20)	1.

2.2 Common Application Features

2.2.1 Toolbar

All menus for the ASX Austraclear System are located on the toolbar. These menus are used to access functionality for the system. This includes:

- File This menu enables changing of passwords and exiting from the system.
- View This menu enable generic application functions. For more information see View Menu.
- Sub Participants This menu contains functionality for managing sub participants details including creating users and sub accounts. This menu is mainly used by System Administrators. For more information on the role of Administrators, see Administration.
- Holdings This menu provides functionality for viewing real-time holdings.
- Trades This provides the ability to view and create trades.
- Settlement This enables the viewing of settlements, managing queue priority, and viewing fee tickets.
- Series This menu enables series to be viewed.
- Administration This menu is solely used for password administrators to authorise user actions and sub account creations.
- **Window** This menu provides the ability to close, minimise or restore system windows. For more information on the Window menu, see *Window Menu*.
- Help The Help menu provides a detailed description of the functionality within the system.

The Help menu can be accessed via two methods. This includes:

- Selecting Help>Help Index This opens the main Help menu. From this screen users can select the required topic.
- Selecting F1 from a specific screen This provides a Help menu screen related specifically to the current screen. For example, for information on how to enter a cash trade users can select F1 in the Trades screen. The Help displays all relevant information for entering a trade.



•

Note: The items that are displayed in the pull-down menus on the toolbar are dependent on the privileges set up by the **user's role** as specified in the ASX Austraclear System.

This guide shows all of the **possible** menu items. Administrators are able to view all of the menu items.

2.2.2 Displaying/Hiding Additional Information in Tables

When viewing screens with tables, additional information can often be viewed at the top of the screen by clicking the down/up arrow to the left of *Search*. The screen always opens with the additional information hidden. The additional information displayed depends on what screen is currently open.

To display additional information, click the down arrow to expand, and the up arrow to contract.

be: Serie	es: ISIN		Edit Destroyed	Constraints.	Trade Type:		Sder														-16
	es: ISIN:		Sub Participant:	Courterpart:	Tage type:	Sub participant Ref:			rom: Settlen											0	Search
																				OL.	20010
fe Nunber:	Authorised: Trade	Date:	Currency:			From To:		- Norther													
		-	1 20					- rout out													
Trade No	Version ISN		icipa Counter		into	Settlement In Cash Record	IPH	Sub Account			Created By			Auth From		Sell Instructio				Maturity Date	e Issu
21	3 AUD00000 5 AUD00000		ASI0220 ACSU21	ALD	into	003-000-RTG5 20036142 003-080-RTG5			ALD	ref2	ACH02026 ACH02035	10.2.12.3	ACH02026 ACH02035	76 76			19/05/2015 20/05/2015	19/05/2015	19/05/2015 8:36:36 PM 20/05/2015 12:03:49 PM		
42	4 AUD0000		SFEC20	ALD		20036143 012-055-835795518			ALID		ACHO2035	10.2.12.3	ACH02035	Ye			20/05/2015		20/05/2015 12:03:49 PM		
43	4 AUD00000		AC9.21	AUD	test trade 01	20036144 008-000-RTG5			AUD		A0102035	10.2.12.3	ACH02035	Ŷ			20/05/2015		20/05/2015 12:29:35 PM		
+1	4 AUD00000	0. ACSL21	A50020	ALD		20036145 012-055-835795518			AUD		ACH02035	10.2.12.3	ACH02035	Ye	15		20/05/2015	20/05/2015	20/05/2015 12:29:35 PM		
45	5 AU3EC151		ACSL21	AMPE09091		20036147 008-000-RTGS		HOUSE	AUD		ACH02035	10.2.12.3	ACH02035	Ye			20/05/2015	20/05/2015	20/05/2015 5:15:14 PM	9/09/2015	
46	4 AUSECISI		A50020	AMPE09091		20036146 012-055-035795510		HOUSE	AUD		ACH02035	10.2.12.3	ACH02035	Ye			20/05/2015	20/05/2015	20/06/2015 5:15:14 PM	9/09/2015	
47	5 AUGCBOLE		AC9121	CB3049		20036149 008-000-RTGS	102.380467.		ALID		ACH02035	10.2.12.3	ACH02035	Ye			20/05/2015	20/05/2015	20/05/2015 5:15:14 PM	21/07/2015	
49	6 AU308016 4 AU308016		ASI0C20 ACSL21	C83049 C83049		20036148 012-055-835795518 20036151 008-000-RTGS		HOUSE	AUD		ACH02005 ACH02035	10.2.12.3	ACH02035 ACH02035	Ye			20/05/2015 20/05/2015	20/05/2015 20/05/2015	20/05/2015 5:15:14 PM 20/05/2015 12:49:11 PM	21/07/2015 21/07/2015	
50	3 AUX30016		A50C20	C83049		29036158 012-055-835795518		HOUSE	AUD		ACH02035	10.2.12.3	ACH02035	70			20/05/2015		20/05/2015 12:49:11 PM	21/07/2015	
51	S AUDECISI		AC51.21	AMPE09091		20036153 008-000-RTG5		HOUSE	AUD		ACH02035	10.2.12.3	ACH02035	Ye			20/05/2015		20/05/2015 12:51:40 PM	9/09/2015	
52	3 AUXECISI		A50020	AMPE09091		20036152 012-055-835795518		HOUSE	AUD		ACH02035	10.2.12.3	ACH02035	76			20/05/2015		20/05/2015 12:51:40 PM	9/09/2015	
53	4 AUXECIST		A50020	AMPE09091		20036155 012-055-035795510		HOUSE	ALID		ACH02035	10.2.12.3	ACH02035	Ye			20/05/2015		20/05/2015 12:54:23 PM	9/09/2015	
54	3 AU3EC151		469.21	AMPE09091		20036154 008-000-RTGS		HOUSE	AUD		ACH02035	10.2.12.3	ACH02035				20/05/2015	20/05/2015	20/05/2015 12:54:23 PM	9/09/2015	
55 56	4 AUDCBOLE 4 AUDCBOLE		ACSL21 ASIC20	C83049 C83049		20036156 008-080-RTG5 20036157 012-055-835795518	102,9004		ALID		ACH02035 ACH02035	10.2.12.3	ACH02035 ACH02035	Ye			20/05/2015 20/05/2015		20/05/2015 12:59:09 PM 20/05/2015 12:59:09 PM	21/07/2015	
57	4 AUD00000		A50020	AUD		20036159 012-055-835795518	100.900 420.	TROUTE.	AUD		ACH02035	10.2.12.3	ACH02035	Ye			20/05/2015	20/05/2015	20/05/2015 1:01:27 PM	2100/2018	Cana
58	3 AUD00000		ACSL21	ALD		20036158 008-000-RTGS			ALD		ACH02035	10.2.12.3	ACH02005	Y			20/05/2015	20/05/2015	20/05/2015 1:01:27 PM		
59	4 AUD00000	0A5XC20	ACSL21	ALD		20036160 008-000-RTG5			AUD		ACH02035	10.2.12.3	ACH02035	Ye	5		20/05/2015	20/05/2015	20/05/2015 1:02:30 PM		
60			A50020	AUD		20036161 012-055-835795518			AUD		ACH02035	10.2.12.3	ACH02035	'n			20/05/2015	20/05/2015	20/05/2015 1:02:30 PM		
61	4 AUD00000		AC9121	AUD		20036162 008-000-RTG5			AUD		ACH02035	10.2.12.3	ACH02035	Ye			20/05/2015	20/05/2015	20/05/2015 2:08:33 PM		
62	3 AUD00000 4 AUD00000		ASIC20 ACSL21	ALD ALD		20036163 012-055-835795518 20036164 008-000-9155			AUD		ACH02035 ACH02035	10.2.12.3	ACH02035 ACH02035	Ye Ye			20/05/2015	20/05/2015 20/05/2015	20/05/2815 2:88:33 PM 20/05/2815 4:80:03 PM		
64	4 AUD0000		A50020	ALD		20036165 012-055-835795518			AUD		ACH02035	10.2.12.3	ACH02035	Ye			20/05/2015	20/05/2015	20/05/2015 4:00:03 PM 20/05/2015 4:00:03 PM		
67			SFEC20	ALD		20037927 008-000-RTG5			AUD		ACH0203M	10.2.12.3	ACHO203M	10			22/05/2015	22/05/2015	22/06/2015 2:52:11 PM		
68	6 AUD00000	0. SPEC20	AS0C20	ALD		20037928 003-000-RTG5			AUD		ACH0203M	10.2.12.3	ACHO203M	Ye	6		22/05/2015	22/05/2015	22/05/2015 2:52:11 PM		
		0. ASXC20													15						

Hidden Information

Displayed Information

ASX Austraclear System User Guide V1.2 2021

Trade No Version 43 42 43 44 45	5 ALD000000 4 ALD000000		Darrency: C Carrency: C In Courter ACSL21 SPEC20	Spen Contract:	Trade Type:	Sub participant Ref:	1	Settlement From Sottler								Sea.
de Numbers Authors Trade No Version 43 45 49 46	SN 5 ALCO00000 4 ALCO00000 4 ALCO00000	Sub Partic SFE C20 ACSL21	ipa Counterp ACSL21	eart Series AUD		Prom: To:			50015 <u>-</u>							S Tea
Trade No Versión 41 42 43 43 44 45	SN 5 ALCO00000 4 ALCO00000 4 ALCO00000	Sub Partic SFE C20 ACSL21	ipa Counterp ACSL21	eart Series AUD				🖬 (ang taon) (pang sala-								
Trade No Versión 41 42 43 43 44 45	SN 5 ALCO00000 4 ALCO00000 4 ALCO00000	Sub Partic SFE C20 ACSL21	ipa Counterp ACSL21	eart Series AUD				🖬 contra companya s								
Trade No Version 41 42 43 44 45	5 ALD000000. 4 ALD000000. 4 ALD000000.	Sub Partic SFEC20 ACSL21	ipa Counterg ACSL21	part Series AUD												
41 42 40 44 45	5 ALD000000 4 ALD000000 4 ALD000000	SFEC20 ACSL21	AC9.21	AUD	into	Settlement In Cash Record										
42 40 44 45	4 ALD000000	ACSL21					PPH		Sub Participa Created By				Sell Instructio Settlement D		Created Time	Maturity Date is
40 44 45	4 ALE008000					20036142 003-000-RTGS		AUD	ACHO2035	10.2.12.3	A0H02035	Yes	20/05/2015	20/05/2015	20/05/2015 12:03:49 PM	
# 6			AC9.21	ALD	test trade 01	20036143 012-055-635795518 20036144 008-000-RTGS		AUD	ACH02035 ACH02035	10.2.12.3	ACH02035 ACH02035	Yes	20/05/2015 20/05/2015		20/05/2015 12:03:49 PM 20/05/2015 12:29:35 PM	
45			ASKC20	AUD	Cest tracks of	20036145 012-055-035799518		ALD	ACHO2005	10.2.12.3	ACH02035	Yes	20/05/2015		20/05/2015 12:29:35 PM	
		ASXC20	AC9.21	AMPE09091		20036147 008-000-RTG5		HOUSE ALLO	ACHO2005	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 5:15:14 PM	9/09/2015 AMPB
45	+ AUBECISI2		ASXC20	AMPE09091		20036146 012-055-035795516		HOUSE AUD	ACH02835	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 5:15:14 PM	9/09/2015 AMP8
		ASXC20	AC9.21	CB3049		20036149 008-000-RTGS	102.380467		ACH02035	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 5:15:14 PM	21/07/2015 CBAA
		ACSL21	ASRC20	C83049		20036148 012-055-835795518	102.380467	7 HOUSE AUD	ACH02835	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 5:15:14 PM	21/07/2015 CBAA
	4 AU3CB0168		AC9.21	CB3049		20836151 008-000-RTG5		HOUSE ALLO	ACHO2835	10.2.12.3	ACH02035	Yes	20/05/2015			21/07/2015 CBAA
	3 AU3CB0168		A5XC20	C83049		20036150 012-055-635795518		HOUSE AUD	ACH02035	10.2.12.3	ACH02035	Yes	20/05/2015	20/06/2015	20/05/2015 12:49:11 PM	21/07/2015 CBAA
	5 AU3EC1512		AC9.21	AMPE09091		20036153 008-000-RTGS		HOUSE AUD	ACHO2035	10.2.12.3	ACH02035	Yes	20/05/2015		20/05/2015 12:51:40 PM	9/09/2015 AMP8
	3 AU0EC1512		ASXC20	AMP809091		20036152 012-055-635795518		HOUSE AUD	ACH02835	10.2.12.3	ACH02035	Yes	20/05/2015		20/05/2015 12:51:40 PM	9/09/2015 AMP8
	4 AUBEC1512		A58C20 AC9.21	AMPE09091 AMPE09091		20036155 012-055-035795510 20036154 005-000-R7G5		HOUSE ALLO HOUSE ALLO	ACH02035 ACH02035	10.2.12.3	ACH02035 ACH02035	Yes Yes	20/05/2015 20/05/2015		20/05/2015 12:54:23 PM 20/05/2015 12:54:23 PM	9/09/2015 AMP8 9/09/2015 AMP8
	4 ALIOCE0168		AC9L21	CR3049		20036156 000-000-RTG5	102.90042		ACH02035	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 12:59:09 PM	21/07/2015 CBAA
	4 AU3CE0168		ASIC20	C83849		20036157 012-055-635795516			ACHO2035	10.2.12.3	ACH02035	Yes	20/05/2015		20/06/2015 12:59:09 PM	21/07/2015 CBAA
	+ ALD000000		ASIC20	AUD		20036159 012-055-035795518	100.000 100.	AUD	ACHO2005	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015		
	3 ALD008000		AC9.21	ALD.		20036158 008-000-RTGS		ALD	ACH02035	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 1:00:27 PM	
59	4 ALD0000000	ASXC20	ACSL21	ALD		20036160 009-000-RTG5		ALID	ACHO2035	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 1:02:30 PM	
60	3 ALD000000	AC5121	A5/(C20	AUD.		20036161 012-055-835795518		AUD	ACH02835	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 1:02:30 PM	
	4 ALECOBOCO		AC9.21	AUD		20036162 008-000-RTGS		ALID	ACH02035	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 2:08:33 PM	
	3 AUD008000		ASI/C20	AUD		20036163 012-055-835795518	6	ALIO	ACH02835	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 2:08:33 PM	
	4 ALE0000000		ACSL21	ALD .		20036164 000-000-RTG5		ALD	ACHO2035	10.2.12.3	ACH02035	Yes	20/05/2015	20/05/2015	20/05/2015 4:00:03 PM	
64	3 ALD000000	AC9121	ASXC20	AUD		20036165 012-055-835795518		AUD	ACH02835	10.2.12.3	A0H02035	Yes	20/05/2015	20/05/2015	20/05/2015 4:00:03 PM	

2.2.3 Columns and Rows

Columns and rows within tables can be reorganised to suit personal preferences.

2.2.3.1 Columns

Columns can be adjusted, added, removed or reorganised in a table.

Adjusting Column Width

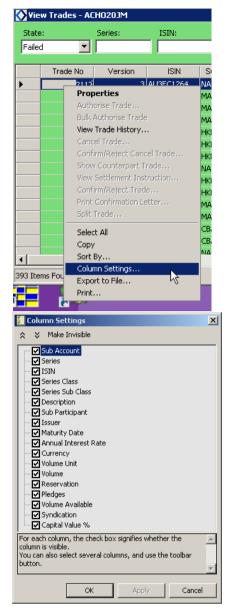
To adjust the size of a column, hover the mouse pointer over the required heading column cell border to display the double arrow and move the border to the required location.

🚫 Vie	w Trades - ACHO20JM	
State	: Series:	ISI
	Version 🕂 Trade N	Vo
•	1 3	3373 A
	1 3	3641 A
	1 3	3646 A

•

Selecting Columns to be Displayed in the Table

Columns to be displayed in the table can be added or removed in the *Columns Settings* dialogue box. To open the *Column Settings* dialogue box, right-click anywhere in the table, and select *Column Settings*.



To select or deselect columns, click on the required check box and click **OK**. All columns that have been selected appear as columns in the table in the listed order.

Reorganising the Order of the Columns

The method for reorganising columns is dependent on the current screen. To reorganise the columns into the required order:

1. Right-click in the table and select **Column Settings**.

This opens the Column Settings dialogue box.

2 L C	olumn Settings	×
*	℅ Make Invisible	
	Info	
	Version	
E	🖌 Trade No	
- E	ISIN	
I	Sub Account	
[Sub Participant	
- [Counterpart	
[🗹 Series 🛛 🙀	
[🗹 Settlement Instr No	
[🗹 Cash Record	
[PPH	
	Currency	
	Sub Participant Ref.	
	Created By	
	Created From	
	Auth By	
	Auth From	
	Use SSI	
	Sell Instruction	•
	each column, the check box signifies whether the column	
is vis		
butto	can also select several columns, and use the toolbar	
batt		Ŧ
	OK Apply Cancel	

2. Select the column to be moved.

The column name is highlighted.

Note that the column to be moved must have the check box selected in the list.

3. Use the double up/down arrows at the top left of the screen to move the column up or down.

The order for the columns in the list will be the order in which columns are displayed in the screen tables.

) 🗐 C	📒 Column Settings									
*	×	Make Invisible								
		ersion nfo rade No								

4. Click Apply.

Once all of the required columns have been moved, click **Apply**. This orders the columns in the table in the order that they appear in the Column Settings screen. If this is not the required order, move the columns to the required location.

5. Click **OK**.

Information within a column in the table can also be sorted in ascending and descending order by clicking on the column heading.

2.2.3.2 Rows

Each row in a table represents a transaction. The order of the columns in the row is based on the column settings as specified in the *Column Settings* dialogue box.

Selecting a Row

To select a row, click the cell to the left of the required transaction. This selects the entire row and it is highlighted in dark blue.

tate:		Series:	ISIN:	Sub Participant:	Counterpart
	•				
	Version	Trade No	ISIN	Sub Participa	Series
	1	3047	AU3EB1000268	CBAA20	CBAA24111
	4	3042	AU3EBA028094	HKBA20	ANZB21090
	6	3040	AU3FN0019154	HKBA20	AMPB32
	3	3044	AUD00000009	HKBA20	AUD
	3	3043	AU3EBA028094	MACQ20	ANZB21090
	5	3041	AU3FN0019154	MACQ20	AMPB32
	2	3045	AUD00000009	MACQ20	AUD

To select a cell, click in the cell. The cell will be highlighted in dark blue. Information from this cell can be copied and then pasted into another application such as Microsoft Word.

Selecting Multiple Rows

To select multiple rows:

Function	Method
Select two or more rows	Hold the left mouse button and drag the mouse down the rows. Hold down the Ctrl key and click to select the required rows.
Select all rows	Right-click anywhere in the table and select Select All.

Sorting a Row

The order of rows in a table can be sorted by its properties by right-clicking in the table and selecting **Sort By**. The *Sort By* dialogue box opens providing three options for ordering the rows. Select the required options from the pull-down menus and click **OK**. The rows are reorganised according to the selections made.

🚫 Sort By			
Sort by:	Sub Participant 📃 💌		
Then by:	ISIN		
Then by:	Trade State		
	ОК	Cancel	

For example, if the rows are sorted by Sub Participant, ISIN and then Trade State, the rows are ordered alphabetically first for the sub participant. If there are sub participants that all have the same sub participant code, for example ANZB30, then it would be ordered based on the ISIN in alphabetical/numerical order as seen in the screen below. For example, AU3B0202216, AU3B0202216, AU3B0202216, AU3B0202226, AU3B0202224, AU3B0202224.

🚫 Vie	📎 View Trades - ACHO20JM					
State	:	Series:	ISIN:	Sul	o Participant:	Counterpart:
	•					
		T 1 11				
	Version	Trade No	ISIN		Sub Participa	Counterp
	2	2164			ACHO20	ASXL20
	2	2408	AU3EC1264524		ACHO20	AAPC30
	2	2409	AU3CB0202216		ANZB30	WPAC20
	2	2410	AU3CB0202216		ANZB30	WPAC20
	5	2411	AU3CB0202216		ANZB30	WPAC20
	8	2357	AU3EC1264524		ANZB30	WPAC20
	3	1943	AU3EC1264524		ANZB30	WPAC20
	5	1936	AU3EC1264524		ANZB30 📐	WPAC20
	3	2338	AUD00000009		ASXC20 🐴	SFEC20
	2	1044	AUD000000000		ASYC20	555(20)

2.2.4 Entering Data

Data is entered throughout the system in fields. For detailed information on the fields for a particular screen, see the appendices at the end of the document. The appendices are located from *Appendix 1 – Create User Field Descriptions* onwards.

2.2.4.1 Types of Fields

There are two main types of fields used. This includes:

Mandatory Input Fields

Mandatory input fields are marked with a **red** triangle in the upper **left** corner of the field. These fields must always be completed before committing an action or instigating a search.

	Sub participant:	Issuer	:
Issuer	MatuńSy Date	Volume	Delivered Coll

Autocomplete Fields

Autocomplete fields are marked with a **black** triangle in the upper **right** corner of the field. If this field contains a default * and it is removed by the user, then a pull-down menu is displayed upon double-clicking in the field showing available choices. Typing in this field narrows the choices.

Settlement Instructions - ACH020JM						
State:	Series:	ISIN:		Sub participant:	Cou	Interpa
	•					
Trans	action Type Sett	I. Instr. No.	State	3804 3805		Cour
				AAPC		
				AAPC30 AAPL		
				AAPL60		
				ABBF ABCL		
				ABCR		
				ABCR50		
				ABEL ABEL20		

For information on how to search for data, see Searching for Data.

2.2.4.2 Entering Text

To enter information in a field, either click in an input field, or use the Tab key to move between fields. The active field is automatically highlighted and information can be entered directly into the field, or selected from pull-down menus.

dings - ACI	HO2OJM				
) date:	Sub account:	Series	class:	Serie	es sub clas
/2014 💌		DSS		2	
Sub Accou	unt Series	ISIN	Series	selass	Series S
) date: 2014 💽	2014	adate: Sub account: Series	adate: Sub account: Series class:	adate: Sub account: Series class: Series 2014

When entering information in a large edit field (for example in the *Information* field in a trading screen) the left and right arrow keys and the Home and End keys can be used to move within the text. These can also be used for check boxes.

📓 Create Cash Trad	le
🖳 Acting for (F9):	ACHO20
🖃 Public Trade Details	;
Sub Participant:	ACHO20
Counterpart:	
Settle Currency:	AUD
Pay Receive:	O Pay O Receive
Trade Date:	7/11/2014 💌
Settlement Date:	7/11/2014 💌
Amount:	0.00
Interest Rate:	0.0000
Payment Settle:	⊙ Yes C No
Sell Settle Instruction:	
Cash Type:	N/A
Information:	I
(i) •	Note: A backspace is not required to delete

Note: A backspace is not required to delete existing information in a highlighted field. Entering new information replaces the existing information.

2.2.4.3 Sub Participant Codes

When entering a sub participant's code in a field it must be six characters in length. For example, ACH020.

2.2.4.4 Setting Date and Time

The format of all time and date fields in the system adapt to the regional settings set in the Control Panel of a user's PC. To set the regional settings, open the Control Panel and select **Date and Time**. This displays the *Date and Time* screen.

Date and Time
Date and Time Additional Clocks
Date: Monday, 24 November 2014 Time: 11:01:08 AM
Time zone
(UTC+10:00) Canberra, Melbourne, Sydney
Change time zone
Daylight Saving Time ends on Sunday, 5 April 2015 at 3:00 AM. The clock is set to go back 1 hour at that time.
Get more time zone information online How do I set the clock and time zone?
OK Cancel Apply

To change the date and time, select Change date and time. This displays the Date and Time settings screen.

The arrows at the top of the calendar can be used to move between months and years. To move within the calendar, use the up, down, left and right arrows on the keyboard.

Date and Time Settings Set the date and time: Date: • November 2014 Mo Tu We Th Fr Sa 27 28 29 30 31 1 3 41 5 6 7 8 10 11 12 13 14 15 17 18 19 20 21 22 24 25 26 27 28 29 1 2 3 4 5 6	2 9 16 23
Change calendar settings	OK Cancel

2.2.5 Searching for Data

2.2.5.1 Search Criteria

When entering search criteria:

- Some fields are mandatory and must be given complete values, either by choosing from a list or by typing.
- Some fields allow wildcards to be used. For more information on wildcards see Wildcards below.
- Some fields can be left empty which is the same as supplying one or more * wildcards.

Many screens have check boxes for certain search criteria. To leave all check boxes related to the same property unchecked gives the same result as checking them all, that is, all items will be listed.



Note: If a search returns too many items, an error message is generated stating the list has been truncated. The user must narrow the search criteria to reduce the number of items displayed.

2.2.5.2 Using Wildcards

When searching for items, the following wildcards can be used.

Wildcard	Search Function		
*	Matches an empty field, or a set of characters		
* * Matches an empty field or two sets of characters separated by space			

	?	Matches one character
--	---	-----------------------

For example, if the following items exist - ASA22, ASB22, ASC22, ASD22, ASA33, ASA44, searching for ASA* gives the result ASA22, ASA33 and ASA44. Searching for AS?22 gives the result ASA22, ASB22, ASC22 and ASD22. To search using only * wildcards or leaving the field empty results in all items.

2.2.6 Viewing Data

2.2.6.1 Copying Data to the Clipboard

Data in cells and rows can be copied to the system clipboard and then pasted into other applications such as Microsoft Word.

The following methods can be used to copy data to the clipboard:

- Copying a **single cell** To copy information in a single cell, select the cell, right-click and select **Copy**. Alternatively, **Ctrl C** can be selected to copy the cell.
- Copying a row To copy a row, select the row, right-click and select Copy. Alternatively,

Ctrl C can be selected to copy the row.

- Copying multiple rows To copy multiple rows in order, select a row, hold down the left
 mouse button and drag down to highlight the required rows. Rows not in order can also be
 selected by selecting a row, holding down Ctrl and selecting the required rows. Once the
 rows have been selected, right-click and select Copy. Alternatively, Ctrl C can be selected
 to copy multiple rows.
- Copying all rows To copy all rows in a list, right-click in the table and select Select All.

a	Trades - AC			
State:		Series:	ISIN:	Sub Participa
	_			
	Trade No	Version	ISIN	Sub Participa
•	424		i	CB.
	440		perties	CB
	1713		orise Trade	CB.
	1727		Authorise Trad	AN
	1729		Trade History. el Trade	··· HKI
	1745		irm/Reject Can	reel Trada
	1765		v Counterpart 1	ICB.
	1912		Settlement Ins	IHKI
	1913		irm/Reject Tra	HK
	1914		Confirmation L	HKI
	1915		Trade,	MA
	1916			MA
	1917	Selec		HKI
	1918	Copy		MA
	1919		Ву	
0.75	Courd	_	mn Settings	
30 Items	Found	Expo	ort to File	

Then right-click and select Copy, or alternatively Ctrl C can be selected to copy the cell.



)•

Note: Copying information in a single cell or field can be used to transfer data in fields/cells from one screen to another.

2.2.6.2 Displaying Hidden Properties

When there are many items on a screen there is often insufficient space to display all available data. To display additional properties for an item, double-click the cell to the left of the selected row. This displays a screen containing all of the individual properties for the selected item, including both displayed and hidden columns.

To display items that are not in the table, select the required check box in the *Column Settings* screen. See *Columns and Rows* for more information.

2.2.6.3 Using the Right-Click Menu

Right-clicking a selected row in a screen displays some options that are general for most screens. This includes items such as Copy, Select All, Properties, Column Settings, Print, etc.

The right-click menu also contains context specific options related to the screen that is currently open and the user's level of permission. For example, in the *View Trades* screen, *View Trade History* is displayed in the right-click menu, but this wouldn't be displayed in the Sub participants menu.



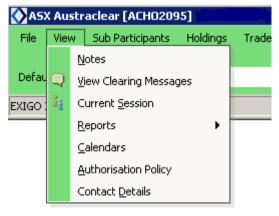
The following table displays general options available for most screens from the right-click menu.

Menu Item	Function
Properties	This provides a more detailed view of the transaction or record in a new screen. This function is permission based and available in most screens.
Create	Allows the user to create a new transaction or record. This function is permission based.
Authorise	Allows the user to authorise a task or transaction that has been created by another user. This function is permission based.
Delete	Allows the user to delete a task or transaction that has been either created by them or another user. This function is permission based.
Select All	Selects all records, transactions or data within a table based on the user's search criteria.
Сору	Allows the user to copy a specific record/transaction, or all records/transactions from their selected table. This information can then be pasted into other applications such as MS Excel or Word.
Sort By	Allows the user to sort table records by specific fields.
Column Settings	Provides the opportunity for the user to display or hide certain columns within each table display.
Export to File	Allows the user to export data into an external application such as MS Excel. This is via CSV or PDF format files.
Print	Provides the user with a Print Preview of the data in another window that is formatted for printing.

2.3 Generic Toolbar Functionality

2.3.1 View Menu

The *View* pull-down menu can be accessed from the toolbar and enables users to perform a number of generic functions.



This includes:

Notes

The system creates notes for most activities performed within the application throughout the day. Notes display the

transactions before and after changes. The system only keeps 90 days of data. If this information is required to be archived, contact ASX Austraclear to request archiving.

5ub	participant:	User:	Operation:		Code	:	From:	
							2014-12-18	Search
	Sub Participant	User	Operation	Authoris	Time stamp	Note Id 🛛 🔻	Note Text	Workstation Io
•	NABL30	ACHO2026	Administer Authorisati		18/12/2014	1850066		203.6.252.248
	NABL30	ACHO2026	Administer Authorisati		18/12/2014	1850065		203.6.252.248
	CSDE	EXIGOSCHE	Derive Active Series A		18/12/2014	1850064		172.20.197.64
	CSDE	EXIGOSCHE	Change Business Date		18/12/2014	1850063		172.20.197.64

View Clearing Messages

The system allows for members to be able to view clearing messages sent by the Austraclear Operations Team in relation to system extensions and corporate action notifications.

🚫 ASX	(Au	straclear [ACHO209	15]		
File	Viev	v Sub Participants	Holdings	Trades	Sel
		<u>N</u> otes			
Defau	Q	View Clearing Messag	jes	•	
EXIGO :	å	Current <u>S</u> ession			
		<u>R</u> eports			
		⊆alendars			
		Authorisation Policy			
		Contact <u>D</u> etails			

Current Session

This option displays the Current Session to the user including the start time and status of each Sub Session within the system.

🚫 Curi	rent 9	Session					×
Session	1:	FULLDA	Y		End mode	: Manual	
Descrip	tion:	Full Day	Session		End time:		
	On		Subsession	Start	Time	Instructed	Gatewa
►			PRE MORNING	3:15:	00 AM	V	V
			MORNING SUB	6:00:	00 AM	✓	V
		v	FULLDAY SUB	9:00:	00 AM	~	v
			DAY END SUB	4:28:	49 PM		✓
			INTERRIM SU	4:52:	00 PM		✓
			EVENING SUB	5:00:	00 PM		✓
			DAY CLOSE SU	7:30:	00 PM		✓
			SYS CLOSE SU	7:31:	39 PM		✓
			OVERNIGHT S	7:35:	00 PM		~
			PREPARE NEX	8:00:	00 PM		✓
•							Þ

Reports

The reports menu contains two sub menus - Explore and Properties.

Explore

.

Selecting Explore displays the Reports screen where reports can be displayed by specifying search criteria.

		Note	s									
Defau	å <u>i</u>	Curr	ent <u>S</u> essi	on	- 1	-						
XIGO :		<u>R</u> epo	orts		•	Explore						
		⊆ale	ndars			Properties						
		Auth	orisation	Policy								
		_	act Detai									
		Cont	.acc <u>p</u> ota	13								
		Con		13								
			_		Participar	Report Name	Format	Empty	Loaded	Printed	Auto Load	
			Report Date 4/11/2014	Batch Name AfterBusiness	Participan ACH020	: Report Name Assizted:Titry	Format	Empty	Loaded	Printed	Auto Load	Auto F
			Report Date	Batch Name					Loaded		Auto Load	Auto F
arch Tree			Report Date 4/11/2014	Batch Name AfterBusiness	ACHO20	AssistedEntry	PDF					Auto F
arch Tree			Report Date 4/11/2014 4/11/2014	Batch Name AfterBusiness AfterBusiness	ACHO20 ACHO20	AssistedEntry ChangesToAuditedTables	PDF PDF					Auto
arch Tree Report Date:			Report Date 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014	Batch Name AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness	ACHO20 ACHO20 ACHO20 ACHO20 ACHO20	AssistedEntry ChangesToAuditedTables CSDUserList R8A8eneficialOwnersSummaryFile WeeklyTurnoverStatistics	PDF PDF PDF CSV PDF					Auto F
arch Tree Report Date: 4/11/2014			Report Date 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014	Batch Name AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness	ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20	AssistedEntry ChangesToAuditedTables CSDUserList RBABeneficialOwnersSummaryFile WeeklyTurnoverSabistics SmultaneousLogons	PDF PDF PDF CSV PDF PDF					Auto
arch Tree Report Date: 4/11/2014 Participant:			Report Dake 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014	Batch Name AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness	ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20	AssistedEntry ChangesToAuditedTables CSDUserList RBA2eneficialOwnersSummaryFife WeeklyTurnoverStabistics SimultaneousLogons SecurityOotals [QLOBAL]	PDF PDF CSV PDF PDF PDF PDF					Auto F
arch Tree Report Date:			Report Dake 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014	Batch Name AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness	ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20	AssiztedEntry ChangesToAuditedTables CSDUserList BR&DenficidOwnersSummaryFile Weeh/TumoreStabitos SmuhaneousLogons SmuhaneousLogons SecuriyFoleats [GLOBAL]	PDF PDF CSV PDF PDF PDF PDF CSV					Auto F
arch Tree Report Date: 4/11/2014 Participant:			Report Date 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014	Batch Name AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness	ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20	AsstancEntry Changes Foundited Tables CSDUserula RABerneficisiOwnersSummaryFile Weekly/TumwerSAbatics SmuthreousLopers SecurityFoles [LOBA] SecurityFoles [LOBA] SecurityFoles [LOBA]	PDF PDF CSV PDF PDF PDF PDF CSV CSV					Auto F
arch Tree Report Date: 4/11/2014 Participant:	Sea		Report Dake 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014	Batch Name AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness	ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20	AssistedEntry ChangesTokudtedTables CSDUserList RRABenfcldOwnersSummaryTife Weeh/TurnoveRabitics SimuhorousLogans SecurtyOetab_COAN] SecurtyOetab_COAN] Weeh/TurnoveRabitics_CSV Web/TurnoveRabitics_CSV	PDF PDF CSV PDF PDF PDF CSV CSV CSV PDF					Auto F
arch Tree Report Date: 4/11/2014 Participant:	Sea		Report Dake 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014	Batch Name AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness	ACHO20 ACHO20	Asstructure Charges Fokudited Tables SDLiserList RABereficialOwnersSummaryFile WeeklyTumoreStabitics SmuthyPeetails (LOBA) SecurityPeetails (LOBA) SecurityPeetails (LOBA) WeeklyTumoreStabitics (SV Holdingtreakdown SubaccountListing	PDF PDF CSV PDF PDF PDF CSV CSV CSV PDF PDF					
arch Tree Report Date: 4/11/2014 Participant:	Sea		Report Dake + 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014	Batch Name Afterbusiness Afterbusiness Afterbusiness Afterbusiness Afterbusiness Afterbusiness Afterbusiness Afterbusiness Afterbusiness Afterbusiness Afterbusiness Afterbusiness	ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20 ACHO20	AssizeEitry ChangesTokudhedTables CSDUserList RRABeneficialOwnersSummaryFile WeeklyTumoveStabitics SourhyPoetal (2016AL) SourhyPoetal (2016AL) WeeklyTumoveStabitics CSV HoldingEreadOwn SubAccountisting WeeklyTumoveScuthyTypes [GLORAL]	PDF PDF CSV PDF PDF PDF CSV CSV CSV PDF PDF PDF PDF					Auto P
arch Tree Report Date: 4/11/2014 Participant:	Sea		Report Dake 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014 4/11/2014	Batch Name AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness AfterBusiness	ACHO20 ACHO20	Asstructure Charges Fokudited Tables SDLiserList RABereficialOwnersSummaryFile WeeklyTumoreStabitics SmuthyPeetails (LOBA) SecurityPeetails (LOBA) SecurityPeetails (LOBA) WeeklyTumoreStabitics (SV Holdingtreakdown SubaccountListing	PDF PDF CSV PDF PDF PDF CSV CSV CSV PDF PDF					Auto F

Properties

Selecting *Properties* displays the *Global Report Preferences* screen where report details can be specified to apply to **all** reports.

Global Report Preferences			×
Report Download Directory:	c:\temp\reports\client		
Keep Reports For:	30	days	
Automatic Download Time:	8:21:54 AM 📑		
Automated Report Actions			
Download Reports at Startup			
Default Reports to Auto-Downlo	bad		
Default Reports to Auto-Print			
Automatic Download Options			
Download Reports for Proxy Pa	articipants		
Download Empty Reports			
ОК	Cancel	Apply	

As a result, these settings cannot be changed for individual reports once these have been set globally. If particular actions are not selected in this screen, they can be modified by selecting the required report from the *Reports* screen and selecting **Properties** from the right-click menu.

Calendars

Selecting Calendars enables users to see all valid and invalid Settlement dates in the system. If no valid calendar date is specified in the Valid Calendar Dates field, the search displays **all** calendars in the system.

Caler	ndar:	Valid cale	endar dates: 🗖	Search
	Calendar	Description	Defined Until	
•	ACT	ACT State Holidays	22/01/2060	
	NSW	NSW State Holidays	6/01/2060	
	NT	NT State Holidays		
	QLD	QLD State Holidays	22/01/2060	
	SA	SA State Holidays	22/01/2060	
	SYSCALEND	System calendar	22/01/2060	
	TAS	TAS State Holidays	22/01/2060	
	USD		27/02/2060	
	VIC	VIC State Holidays	22/01/2060	
	VIC1		30/04/2009	
	WA	WA State Holidays	22/01/2060	

Selecting a **date** in the Valid Calendar Dates field and clicking **Search** displays all of the calendars that contain the selected date as a **valid** system date. If a calendar contains the specified date as a non valid date, then it will not appear in the calendar list.

Cale	endar:	Valid cal	endar dates: 🗹 25/12/2014 📘
	Calendar	Description	Defined Until
►	ACT	ACT State Holidays	22/01/2060
	NSW	NSW State Holidays	6/01/2060
	NT	NT State Holidays	
	QLD	QLD State Holidays	22/01/2060
	SA	SA State Holidays	22/01/2060
	TAS	TAS State Holidays	22/01/2060
	USD		27/02/2060
	VIC	VIC State Holidays	22/01/2060
	VIC1		30/04/2009
	WA	WA State Holidays	22/01/2060

To see all invalid dates for a specific calendar, select the required calendar and double-click in the cell to the left of the row. Alternatively select the required calendar, right- click and select **Properties**. This displays the specified calendar screen where all invalid dates are listed.

🖉 Calend	dar: NSW		_ 🗆 🗵
🖶 Actin	ig for (F9):	ACHO20	•
🖃 Gener	al		
Calendar:	NSW		
Description	n: NSW	State Holidays	
Defined ur	ntil: 🗹 6/	01/2060 💌	
- Invalid	Datas		
- Invalid			
	Date	Weekday	_ <u> </u>
	13/12/2014		
	14/12/2014	· ·	
	20/12/2014	Saturday	
	21/12/2014	Sunday	
	27/12/2014	Saturday	
	28/12/2014	Sunday	
	3/01/2015	Saturday	
	4/01/2015	Sunday	
	10/01/2015	Saturday	•
Note:			
1			
		ОК	Cancel

Note: The **state/territory calendar** that is selected **doesn't** display **national** invalid dates that apply to all of Australia. To see the national invalid dates that apply to a particular state/territory, see the **SYSCalendar** (system calendar) to ensure all invalid dates have been identified.

Authorisation Policy

i

Selecting **Authorisation Policy** enables users to view functionality to determine whether the authorisation state is set to Yes or No. If it is ticked, authorisation is required. If it is not ticked, no authorisation is required.

🖉 Authorisati	ion Pa	licy		
E General				
General				
Owner:	AC	HO20		
Restricted:	V			
User Actions				
Тур	e	Group	Authorize	A
Accept B		Holding		-
Accept P		Pledge	Ē	
Adjust Is	sue	Series		
Assign C	ash	Cash Record		
Bulk Tran	sfe	Holding		
Bulk Tran	sfe	Holding] –
Confirm I	Rej	Trade		
Confirm I	Rej	Trade	V	
Confirm I	Rej	Trade	V	
Confirm I	· ·	Trade		
Confirm I		Trade	V	
Confirm I	· ·	Trade		
Confirm I		Trade		
Confirm I	- <u>(</u>	Trade		
Create B			V	
Create B	ill N	Bill Nominati		

Contact Details

The Sub Participant Contact Details screen displays sub participant's contact details. This includes name, address, phone number, email etc.

∕ ∫5ι	ıb Participant (Contact Detai	ils - ACHO2OJI	м					_ 🗆 ×
Sub p	articipant: ACH	020	Sub participar	nt name:					Search
	Sub Participa	Sub Participa	Address 1	Address 2	Postal Code	City	Province/Stat	Country	Contact Pers
۶.	ACHO20	Austraclear	Level 4	20 Bridge St	2000	SYDNEY	NSW	AUSTRALIA	Renee service
•									
Item	Found								

2.3.2 Window Menu

The Window pull-down menu can be accessed from the toolbar and enables users to perform a number of generic functions.

				_ 🗆 🗙	
Administration	Win	dow Help			
	e¥.	Close <u>A</u> ll			
		<u>M</u> inimize All			
		<u>R</u> estore All	N		This includes:

Close All

This closes multiple system screens that are open within the application.

Minimise All

This minimises multiple screens that are open within the system application.

Restore All

This restores all screens in the application.

About

This menu provides information about the ASX Austraclear System including the installed system components, base location and system information. Users can also access the ASX website from this screen.

ASX Aust Market (0) ASX Linead, 2015 market (0) ASX Lineaded ar 2016 market and the source and a second and s and conductors of the agreements between ASS	owned by ASX Limited. Th
1.0 hrðþr (ð) ASX Limiladi, 2015 nacka af 11. sönskar mar vinnskrandi fra Studer mar sjönnar sjönnar sjönnar sjönnar sjönnar sjönnar sjönnar sjö	owned by ASX Limited. Th
vright (c) ASX Limited, 2015 raclear™ and Austraclear EXIGO are trademarks marks and this software may only be used in act	cordance with the license
raclear ^{**} and Austraclear EXIGO are trademarks marks and this software may only be used in ac	cordance with the license
following components are installed:	
mponent Ver	sion M
	1.0.0 F
	4 0.0.1
	4 0.0.
	0.0.0 4
.EXIGO.SGUI.SGUIBaseForms 2.0	.0.0 4
location:	
· · Low or design a class of the low of the	
rojects\SVN\EXIGO\Implementation\Client\SGUI	Ibin OM.SECUR.Common
rojects (SVN)EXIGO (Implementation (Client (SGU)	Ibin\OM.SECUR.Common

3 Administration

In order for participants to maintain control over internal security, the ASX Austraclear System provides Administrators with the authority to carry out unique procedures. The main role of an Administrator is to create and maintain individual users within the organisation by allocating user roles and actions.

Administrators can set temporary passwords for users who are logging on to the system for the first time or who are locked out of the system, and register Standard Settlement Instructions (SSIs) and agreements for the organisation.

To ensure continuity in cases of an absent Administrator, ASX Austraclear recommends that participants allocate two individuals to act as Administrators.

Administrator roles include:

- Setting Up Users
- Creating and Viewing Sub Accounts
- Setting up Standard Settlement Instructions.

3.1 Setting Up Users

Administrators are responsible for setting up user details enabling access to the system. This includes creating a user, unlocking/resetting passwords, modifying user details and inactivating/deleting a user.

3.1.1 Creating a User

To create a user:

1. Select Sub Participants>Sub Participants Users Sub Accounts>Create User.

This opens the Create User screen.

🜠 Create User				_ 🗆 ×
⊕ Acting for (F9):	ACHO20 -			
🖃 General		Assigned Roles		<u> </u>
User: Sub participant: Description:	ACHO20	ADMINISTRATOR CASH MARKET MARGINING GGWY ATO FILE CREATION GGWY BABS FILE CREATION GGWY BIC MAINTENANCE		•
Password Settings		Proxy Information		
Password: Confirm password:				
Set as temporary:				
🖃 Contact Informatio	n	,		
First name: Last name: E-mail:				
🖃 State				_
State:	Active 💌			-
Note:				
			ОК	Cancel

2. Enter user details.

For more information on fields, see *Appendix* 1 – *Create User Field Descriptions*.

The following fields are mandatory:

- User
- Sub Participant
- Password
- Confirm Password
- Email.

A temporary password can be created by selecting Set as temporary. Upon initial logon, the user is forced to create a new password.

Each role in the system consists of user actions. Only roles can be assigned to users, not individual user actions. Administrators can assign one or more of the available roles to each of the users. To view all available roles in the system, select **Sub Participants>Roles>View.** Enter the required search criteria and click **Search**.

Each participant is allocated a group of roles according to the participant type.

At a minimum, a participant should be allocated the compulsory roles. This includes CL Compulsory Role and CP Compulsory Role.

In *Proxy Information* in the *Create User* screen, a list of available proxies for the user is displayed. Administrators can assign one or more of the available proxies to a user. To see the roles assigned to one or more of the available proxies, see *Viewing Available Roles for a Proxy* below.

The Notes frame populates the note text on the create user note in the View Notes. View notes is an audit trail of administrative actions.

iub j	participant: I	Jser:	Operation:		Code:		From:			
							2014-11	1-03 00:00 💌	🕑 Searc	:h
	Sub Participant	User	Operation	Authoris	Time stamp	Note Id 🛛 🔻	Note Text	Workstation Id	Code	
•	CSDE	EXIGOSCHE	Derive Active Series A		11/12/2014	1849975		172.20.197.64		
	CSDE	EXIGOSCHE	Change Business Date		11/12/2014	1849974		172.20.197.64		
	CSDE	EXIGOSCHE	Delete Withdrawal Re		10/12/2014	1849973		172.20.197.64	ANZB12121	
	CSDE	EXIGOSCHE	Delete Withdrawal Re		10/12/2014	1849972		172.20.197.64	ANZB12121	
	NABL30	NABL3010	Delete Deposit Request		10/12/2014	1849971	1	203.6.252.248	TB0119	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849970		203.6.252.248	TB0119	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849969		203.6.252.248	TB0130	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849968		203.6.252.248	TB0132	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849967		203.6.252.248	TB0130	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849966		203.6.252.248	TB0132	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849965		203.6.252.248	TB0130	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849964		203.6.252.248	TB0132	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849963		203.6.252.248	TB0130	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849962	1	203.6.252.248	COMM26111	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849961		203.6.252.248	NSWT15051	
	NABL30	NABL3010	Create Deposit Request		10/12/2014	1849960		203.6.252.248	COMM26111	

3. Click OK.

Once all the user details have been entered in the Create User screen, click OK.

 Contact ASX Customer Service to apply for a unique digital certificate and RSA SecurID token for internet participants.

ASX Austraclear Client Services can be contacted on <u>Austraclear@asx.com.au</u> or 1300 362 257 (within Australia) or +61 2 8298 8474 (outside Australia) who will provide a certificate for the new user.

Once the certificate is received, the certificate can be enrolled. Enrolment instructions are emailed to the user with the Client Side Digital Certificate (CSDC) enrolment details.

3.1.1.1 Viewing Available Roles for a Proxy

A proxy is an arrangement where a sub participant gives permission to another sub participant to perform certain functionality in the system on its behalf. The sub participant receiving the rights is called the proxy agent and the sub participant granting the rights is called the proxy issuer.

A proxy is granted at the user level, and not the sub participant level. In other words, the roles assigned to a user at one sub participant can be assigned to a user at another sub participant. Each proxy contains a set of roles that have been assigned to a user at the proxy issuer sub participant. These roles are then assigned under the proxy to a user at the proxy agent. The proxy agent cannot split the set of roles, just distribute the whole package to one or more of its users. A user granted a proxy can act in the proxy by changing "hat". However, all View and Explore user actions are aggregating, so the rights in all proxies are added together in these cases.

The proxy agent has to accept the proxy before it is available for distribution among its users. This is also the case if an existing proxy is modified and the proxy scope is increased, that is, more roles are included. A decrease of the proxy scope requires no confirmation from the agent and the modification is taken into effect immediately.

Proxies allow participants to perform transactions on behalf of their sub participants and other participants of the system.

Users can log on as the "parent" participant and "Act for" those sub participants and other participants which they are

authorised to access.

When a proxy is assigned to a user, all of the roles attached to that proxy will also be assigned to that user.

Participants may have more than one active proxy with the same sub participant; however, each proxy relationship may contain different roles.

To view available roles for a proxy:

1. Select Sub Participants>Proxies>View.

This opens the Proxies screen.

2. Specify the search criteria and click Search.

All the available proxies are displayed for the participant code.

roxy:	Issu	er:	User:		Agent:		State:	Search
	Proxy	Proxy User	Description	Proxy Issuer	Proxy Agent	State		
	PROXY_ACEL20_4	PU_ACEL20_4		ACEL20	SGAL20	Deleted		
	PROXY_ACEL20_PA	PU_ACEL20		ACEL20	CBAA20	Deleted		
	PROXY_ACHO_ACHO20	PU_ACHO_A	DM Proxy	ACHO	ACHO20	Active		
	PROXY_ACHO20_ACHO	PU_ACHO20	DM Proxy	ACHO20	ACHO	Active		
	PROXY_ACLR25_1	PU_ACLR25_1		ACLR25	ACSL21	Active		
	PROXY_ACLR25_1A	PU_ACLR25		ACLR25	SFEC20	Active		
	PROXY_ACLR25_2	PU_ACLR25_2		ACLR25	ACLR20	Active		
	PROXY_ACLR25_2A	PU_ACLR25		ACLR25	SFEC20	Active		
	PROXY_ACLR25_3	PU_ACLR25_3		ACLR25	SFEL20	Active		
	PROXY_ACLR25_5	PU_ACLR25_5		ACLR25	ACLR20	Active		
	PROXY ACLESSES	PLLACER30_3		ACLR30	ACLR20	Active		

3. Select the required proxy.

4. Right-click and select View Proxy Roles.

This displays the *Proxy Roles* screen with all of the available roles for the selected proxy.

[Pro	oxy Roles: PR(DXY_ACHO_AC	:HO20	
E.				
🖃 Ge	eneral			
Proxy:		PROXY ACH	O ACHO20	
l .				
Descrip	ption:	DM Proxy		
		_		
Proxy	issuer:	ACHO		
Proxy	agent:	ACHO20		
🖃 Rol	les			
	Role	Description		•
•	ADMINISTR	Default Role		
	CGWY ATO	Allows the c		
	CGWY BABS	Bill Delivery		
	CGWY BIC	Allows the i		
	CGWY COM	Get Matchin		
		Allows the v		
	CGWY EXPL	· · ·		
	CGWY HTH	Allows the u		
	CGWY HTH	Super User		•

3.1.2 Unlocking or Resetting User Passwords

The system allows a user three attempts to log-on. After the third attempt, the user is locked out of the system and needs to be unlocked by the Administrator.

User Passwords expire every 90 days and it is the responsibility of each user to change their password.

If a user fails to change their password on or before the expiry date, they will be unable to gain access to the system until the Administrator assigns a new password.

New passwords can be set as temporary. When a user logs on with a temporary password they are forced by the system to change their password before they can proceed.



To unlock/reset a password for a user:

1. Select Sub Participants>Sub Participants Users Sub Accounts>Explore.

This opens the Sub Participant Explorer screen.

- 2. Select **User** from the *View* pull-down menu.
- 3. Specify search criteria and click **Search**.
- 4. Select the required user from the table, right-click and select **Unlock User** or **Reset Password**.

Search Tree		User		First Name	Last Name
		ACHO2006		Renee	Service
View:		ACHO2010		Charmaine	Auld
User	•	ACHO2010		Di	Elatabar
Joser 🖸	Ľ.	ACHO2		perties	
User:		ACHO2	Dela	ete	
		ACHO2 F	Res	et Password	
I		ACHO2	Mod	lify User Admini	istrator
First name:		ACHO2	Jnlo	ock User	
		ACHO2	Sho	w in Tree	~~
		ACHO2	ono	wiii iree	
Last name:		ACHO2 Select All			
		ACHO2	Сор		
Sub participant:		ACHOZ		: By	
Асного		ACHOZI		umn Settings	
		ACHO2	exp Prini	ort to file +	
Role:		ACHO2	-1111		
		ACHO2084		Pranit	Rai
		ACHO2086		Simon	McCarthy
Proxy information:		ACHO2089		Sally	Wilson
		ACHO2090		spare	spare
Current state		ACHO2093		Chris	Ting
		ACHO2094		Tiina	Sepulveda
Active Inactive Deleted		ACHO2095		Mary	Ng
		ACHO2096		Tiffany	Hu
Search		ACHO2098		Michael	Andrews
		ACHO20AH		Amy	Ha

Selecting **Unlock User** displays a dialogue box where the user can be unlocked. A note can be added in the *Note* field if required. Once details have been entered, click **Yes**.

EXIGO	
	Unlock user ACHO2019?
Act for:	АСНО20
Note:	
	Yes No

Selecting Reset Password from the right-click menu enables a new password to be allocated.

This opens the *Reset Password* dialogue box where the new password can be added and confirmed. If it is a temporary password, select **Set as temporary password**. Once details have been entered, click **OK**.

🚫 Reset Password		×			
New password:					
Confirm new password:					
Set as temporary password					
	ок 📐	Cancel			

3.1.3 Modifying User Details

Modifying user details can be performed by the participant's system administrator. However, if a participants email address changes, it is important to notify ASX as reminders are sent to participants for renewing digital certificates.

To modify user details:

1. Select Sub Participants>Sub Participants Users Sub Accounts>Explore.

This displays the Sub Participant Explorer screen.

- 2. Select **User** from the *View* pull-down menu.
- 3. Specify the required search criteria, and click **Search**.
- 4. Select the required user, right-click and select **Properties**.

The User screen is displayed.

5. Modify user details as required.

The following may be modified:

- Contact Information
- State
- Assigned Roles
- Proxy information.

📓 User: ACH02019				
🖳 Acting for (F9):	ACHO20	•		
🖃 General				_
User:	ACHO2	:019		
Sub participant:	ACHO2	:0		
User locked:	Yes			
User administrator:	Yes			
Description:				
🖃 Contact Informatio	n			
First name:	Di			
Last name:	Fletche	r		
E-mail:	di.fletc	her@asx.com.a	эu	
🖃 State				
State:	Active	-		
Assigned Roles				
ADMINISTRATOR CASH MARKET MA CGWY ATO FILE C CGWY BABS FILE C CGWY BLC MAINTE	REATION TREATION		•	
- Proxy Information				•
Note:				
		OK	<u>_</u>	Cancel

The assigned roles for a user reflect the roles available for the participant. For example, CL = Clearing Participant,

and CP = Cash Provider.

6. Click OK.

3.1.4 Inactivating or Deleting a User

Users that are no longer required may be inactivated or deleted. Deleted users can not be reactivated or reused. To inactivate or delete a user:

1. Select Sub Participants>Sub Participants Users Sub Accounts>Explore.

This displays the Sub Participant Explorer screen.

- 2. Select **User** from the *View* pull-down menu.
- 3. Specify the required search criteria, and click **Search**.

To view all the active and inactive user states, ensure both **Active** and **Inactive** are selected for the current state. If Inactive is not selected, only the active states are displayed.

Sub Participant Explorer - ACHO20JM			
Search Tree		User	First
		ACHO2010	Charma
View:		ACHO2019	Di
User		ACHO2026	Michael
· · · · · · · · · · · · · · · · · · ·		ACHO2035	Michael
User:		ACHO2036	Gilbert
		ACHO2037	Eldon
		ACHO2049	Jennife
First name:		ACHO2060	Julie
		ACHO2063	Tim
Last name:		ACHO2064	John
		ACHO2067	Steven
		ACHO2075	Luke
Sub participant:		ACHO2079	WAYNE
ACHO20		ACHO2080	Michael
	•	ACHO2082	Alex
Role:		ACHO2084	Pranit
		ACHO2086	Simon
		ACHO2089	Sally
Proxy information:		ACHO2090	spare
		ACHO2093	Chris
Current state		ACHO2094	Tiina
		ACHO2095	Mary
Active V Inactive Deleted		ACHO2096	Tiffany
		ACHO2098	Michael
Search Search		ACHO20AH	Amy
		ACHO20BL	Brendai

4. Inactivate or delete the user.

Inactivating a User

To inactivate an active user, select the required user, right-click and select **Properties**. Select the state as *Inactive* and click **OK**.

🖉 Sub Account: TERF	
E Acting for (F9):	ACHO20 ·
🖃 General	
Sub account:	TERRENCE
Sub account description:	
Sub account type:	Holding
Collateral source:	
Sub account priority:	Active
Sub account controller:	ACHO20
Confirmation by:	
Bank account:	
😑 Sub Account Holder	
Name:	
Id:	
🖃 Cash Record	
Cash record:	
🖃 State	
State:	Active
Note:	Inactive
	ů.
	OK Cancel
• De	eleting a User

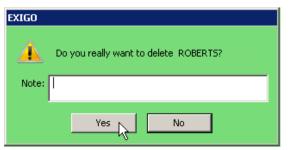
Deleting a User

In order to delete a user they must be in an inactive state.

To delete a user, right-click the selected user and select **Delete**.

	Sub Account	Sub Account	Sub /	Account	State	Dea
	MIKE	Collateral	Active		Inactive	
•	ROBERTS	Holding		P	Teachine	
	TERRENCE	Holding	Active	Delei	erties	
				Shov	v in Tree	
			Select All			
				Copy Sort		
					nn Settings	
				Expo	rt to file	
				Print		

Click Yes to confirm the deletion of the user. A note can be added if required.



3.2 **Creating and Viewing Sub Accounts**

Creating Sub Accounts 3.2.1

All participants must have at least one Holding type sub account.

With the **exception** of Associate participants, all participants can create multiple sub accounts within a valid Sub Account type.

To create a sub account:

📓 Create Sub Accou	int 📃	. 🗆 🗵
E Acting for (F9):	ACHO20 ·	
🖃 General		
Sub account:		
Sub account description	n:	
Sub account type:		
Collateral source:	Γ	
Sub account priority:	•	
Sub account controller:		
Confirmation by:		
Bank account:		
🖃 Sub Account Holder	r	
Name:		
Id:		
🖃 Cash Record		
Cash record:		
🖃 State		
State:	Inactive	
Note:		
1		
	OK Ca	ncel

1. Select Sub Participants>Sub Participants User Sub Accounts>Create Sub Account.

This opens the Create Sub Account screen.

2. Enter the required sub account details.

The following fields are mandatory:

- Sub Account
- Sub Account Type
- Sub Account Controller
- State.

The following fields are not applicable and should be ignored:

- Confirmation By
- Bank Account.

For more information on field descriptions, see *Appendix* 2 – *Sub Accounts Field Descriptions.*

3. Click OK.

Once the required information has been entered, and click OK.

3.2.2 Viewing Sub Account Details

To view sub account details:

1. Select Sub Participants>Sub Participants Users Sub Accounts>Explore.

This opens the Sub Participant Explorer screen.

2. Select **Sub Account** from the *View* pull-down menu.

🚫 Sub Participant Explorer - ACHO20JM	
Search Tree	
View:	
Sub Participant 💌	
Sub Participant	
User Sub Account ACHO20	
Parent sub participant:	

3. Click Search.

This displays the participant sub account details.

To view the participant sub account details in a tree structure, right-click the required sub account and select **Show in Tree.** This displays the participant's sub account details in a tree structure. Alternatively, click **Tree** next to *Search*.

Sub Part	icipant Explorer - ACHO2OJ№	1
Search T	ree	Sub Acc
	ACHO2094	► TERRENC
	ACHO2095	
	ACHO2096	
	ACHO2097	
	ACHO2098	
	ACHO20AH	
	ACHO20BL	
	ACHO20DB	
	ACHO20EO	
	ACHO20IW	
	ACHO20JM	
	ACHO20KE	
	ACHO20MD	
	ACHO20N5	
	ACHO20PR	
	ACHO20V2	
	ACHO20VR	
	ACHO2100	
	-	
	ACHOOMX1	
	ACHOTECH	
		4
	S TERRENCE	

4. Right-click on the participants sub account and select Properties.

	Sub Account	Sub Account	Sub Account	Sta	ate	Description	Sub
• •		Sub Account Holding		Str	Pro Dele Shov Sele Copy Sort	v in Tree	Sub
						ort to file	

Selecting Properties displays the Sub Account screen for the selected user. Click OK to exit the screen.

🜃 Sub Account: TERR	RENCE
E Acting for (F9):	ACHO20 ·
🖃 General	
Sub account:	TERRENCE
Sub account description:	
Sub account type:	Holding
Collateral source:	
Sub account priority:	Active
Sub account controller:	ACHO20
Confirmation by:	
Bank account:	
🖃 Sub Account Holder	
Name:	
Id:	
🖃 Cash Record	
Cash record:	
🖃 State	
State:	Active
Note:	
1	
	OK Cancel

3.3 Setting up Standard Settlement Instructions

3.3.1 Registering Standard Settlement Instructions

Standard Settlement Instructions (SSIs) allow participants to register and store default payment and security instructions for each of their sub participants for different types of instruments, series and currencies.

It is not mandatory to register SSIs in the system. However, if no SSIs exist, trades will not proceed to settlement until a cash record and/or sub account is specified for that trade.

All users have the ability to register SSIs provided they have been assigned at least one of the trade entry related roles, e.g. CL DSS Trade.

The system is flexible in that it allows the registering of individual SSIs for each instrument type using different sub accounts and/or cash records, provided there is more than one sub account and cash record set up in the system. To nominate one sub account and cash record as the 'default' account for all transactions, the selection of an instrument type can be omitted and the sub account and cash record selected for the sub participant. This becomes the SSI the system defaults to every time a trade is entered for any instrument type.

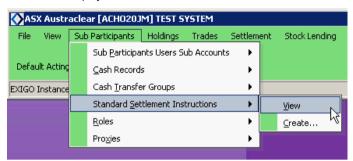
When trades are created in the system, the SSI field defaults to 'Y indicating that the cash will settle via the default cash record and sub account. If participants wish to select an alternate cash record and/or sub account on a transaction by transaction basis, they must select 'N' in the SSI field. The pull-down menu in the *Cash Record* and *Sub Account* fields may then be used to select from the list of available cash records and sub accounts.

(j) ·

Note: Associates have restricted access to the system and are only allowed to have one sub account and can only settle with full participants.

To register an SSI:

- 1. Select Sub Participants> Standard Settlement Instructions>View.
 - This displays the Standard Settlement Instructions screen.



2. Enter search criteria and click **Search**.

St	Standard Settlement Instructions - ACH02095						_ 🗆 ×	
Sub P	articipant:	Trade	е Туре:	Currency:				
<u> </u>			•				ට ට S€	earch
	Sub Participan	Trade Type	Currency	Sub Account	Cash Record	Description	State	
Ready								1.

- 3. Select the required Sub participant.
- 4. Right-click and select **Properties**.

This displays the Standard Settlement Instruction screen.

🖉 Standard Settlen	🖉 Standard Settlement Instruction				
🕒 Acting for (F9):	ACHO20				
🖃 General					
Sub Participant:	ABCL				
Trade Type:					
Currency:	AUD				
Sub Account:					
Cash Record:					
Description:					
🖃 State					
State:	Active				
Note:					
	OK N	Cancel			

5. Enter the required details in the *Standard Settlement Instruction* screen.

SSIs can be created for each instrument type, instrument class, series and currency, **or** registered at sub participant level only. The value can be ** which includes all values for the particular field.

For more information on naming conventions for creating SSIs, see Appendix 3 – SSI Field Descriptions.

🖉 Create Standard Settlement Instruction 📃 🗖 🏼						
ACHO20						
OPTS20	`					
	•					
AUD						
HOUSE						
007-000-						
082-090-64-						
×	li					
	OK Cancel					
	ACHO20 OPT520 AUD HOUSE 007-000 008-000- 082-090-64-					

6. Click OK.

Once **OK** has been clicked, the screen disappears, and the SSI is automatically created in the system. For more information on how to view the created SSI, see *Viewing SSIs* below.

3.3.2 Amending or Deleting an Existing SSI

3.3.2.1 Amending an Existing SSI

To amend an existing SSI:

1. Select Sub Participant>Standard Settlement Instructions>View.

🐼 ASX Austraclear [ACH020JM] TEST SYSTEM							
File View	Sub Participants Holdings Trades Sett					Stock Len	ding
	Sub <u>P</u> a	articipants Users (5ub Account	ts 🕨			
Default Acting	Default Acting Cash Records						
EXIGO Instance	Cash]	<u>I</u> ransfer Groups		•			
,	Standa	ard <u>S</u> ettlement In	structions	•		⊻iew	
	Roles			•		⊆reate	75
Pro <u>x</u> ies				•			

- 2. Specify the search criteria, and click **Search**.
- 3. Select the required SSI.
- 4. Right-click and select **Properties**.

This displays the Standard Settlement Instruction screen.

5. Select either Active or Inactive from the State pull-down menu.

🖉 Standard Settlement Instruction 📃 🗖 🛛					
🖶 Acting for (F9):	ACHO20 ·				
🖃 General					
Sub Participant:	OPTS20				
Trade Type:	_				
Currency:	AUD				
Sub Account:	HOUSE				
Cash Record:	123-123-123456				
Description:					
🖃 State					
State:	Active				
Note:					
	ОК	Cancel			

6. Amend any required details, and click **OK**.

3.3.2.2 Deleting an Existing SSI

To delete an existing SSI:

- 1. Select Sub Participant>Standard Settlement Instructions>View.
- 2. Specify the search criteria and click **Search**.
- 3. Select the required SSI.
- 4. Right-click and select Properties.

This displays the Standard Settlement Instruction screen.

5. Select **Inactive** from the *State* pull-down menu.

🖉 Standard Settlen	nent Instruction	_ 🗆 🗵
🕒 Acting for (F9):	ACHO20 -	
🖃 General		
Sub Participant:	OPT520	
Trade Type:		
Currency:	AUD	
Sub Account:	HOUSE	
Cash Record:	123-123-123456	
Description:		
🖃 State		
State:	Active 💌 Active Inactive	
Note:		
	ОК	Cancel

6. Click **OK**.

Wait until the SSI is inactive before moving to the following step.

7. Select the SSI, right-click and click **Delete**.

St	andard Settlen	nent Instru	ctions - ACHO2	2095
Sub P	articipant:	Tr	ade Type:	Currency:
OPTS	20		-	
State	: 🔽 Active	Inactive	Deleted	
	Sub Participan	Trade Type		Sub Account
	Properties Create Delete		AUD	HOUSE
	Select All Copy Sort By			
1 Itei	Column Setting Export to File. Print	·		

3.3.3 Viewing SSI Versions

To view SSI versions:

- 1. Select Sub Participants>Standard Settlement Instructions>View. This displays the Standard Settlement Instructions screen.
- 2. Specify the search criteria and click **Search**.

4 Participant Details

4.1 Maintaining Participant Details

Participant contact details include contact names, addresses, email addresses and telephone and fax numbers. These must be maintained by the Password Administrator.

Administrators are responsible for recording the Tax File Number (TFN) and Australian Company Number (ACN), or Australian Business Number (ABN) details on the system for each of their sub participants. For security purposes the TFN number is masked and appears as ********.

If the ABN or TFN is not recorded, withholding tax is deducted from the coupon interest payments at the withholding tax rate. If the ABN is recorded in place of the TFN, then withholding tax will not be deducted.

For the participant to claim an exemption, one of the following codes should be entered in the TFN field:

- 555 555 555 This is not required to lodge a return. Refer to section 23(d) of the Income Tax Assessment Act.
- 666 666 666 This is a claiming exemption. Refer to section 202(d) of the Income Tax Assessment Act.

To maintain participant details and record the TFN, ACN/ARBN or ABN:

1. Select Sub Participants>Sub Participants Users Sub Accounts>Explore.

This displays the Sub Participant Explorer screen.

- 2. Select **Sub Participant** from the *View* pull-down menu.
- 3. Specify the search criteria and click Search.

The participant details are displayed.

4. Select the sub participant, right-click and select Properties.

This displays the Sub Participant screen with the properties for the selected sub participant.

Sub participants contact information such as name, email address, address, TFN etc. can be added in the Contact Information frame.

For more information on the fields, see Appendix 4 – Participant Field Descriptions.

📓 Sub Participant: A	CH020					_ 🗆 🗵
🖳 Acting for (F9):	ACHO20 ·					
🖃 General		Contact Information	r	Chargeable Fee Rule Types	5	•
Sub participant:	ACHO20	Sub participant name:	Austraclear Limited	Settlement instruction related:		
Parent sub participant:	ACHO	Resident:		Holding related:		
Sub participant type:	Borrower	Country:	AUSTRALIA	Report related:		
	Cash Provider	Postal code:	2000	SWIFT related:		
	Clearinghouse Or CCP	City:	SYDNEY	HTH Lite related:		
External template ref.:		Province or state:	NSW	Sub account related:		
External Identificat	,	Address 1:	Level 4	User related:		
Investor type:		Address 2:	20 Bridge Street	Proxy related:		
ACN/ARBN:		Contact person:	Renee service			
ABN:	94002060773	Phone number:	02 9227 0313			
Clearing bank BIC:	171002000773	Fax number:	02 9256 0617			
Limited account no.:		E-mail:	Renee.service@asx.com.au			
Default	-	TFN:	•••••			
Default sub account:		🖃 State				_
Default cash records:		State:	Active			
Derault cash records:	_ MIKE_SOPER_OSER	Suspended:	No			
		Classification				-
Note:						
					ок	Cancel

5. Click OK.

This closes the Sub Participant screen.

4.2 Viewing Participant Details

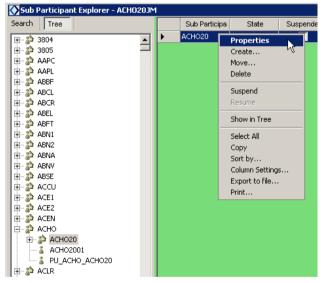
To view participant details:

- 1. Select Sub Participant>Sub Participants Users Sub Accounts>Explore.
- 2. Select **Sub Participant** from the *View* pull-down menu.
- 3. Specify the search criteria.
- 4. Click Search.

This displays the participant's details.

Sub Participant Explorer - ACH0209	15						_
Search Tree		articipa	State	Suspended	Parent Sub P	Investor Type	
View:	ACHO: Proper		ve		АСНО	Company	
Sub Participant	Create Move						
5ub participant:	Delete		_				
ACHO20	Suspen Resume						
Parent sub participant:	Show in	Tree					
Sub participant type:	Select / Copy Sort by						
Issuer representative:		Settings to file					
Issued series:							
Investor type:							
Suspended:							
Current state							
Active Inactive Deleted							
Search							
		1 mate	ching recor	d(s)			

To see in a tree structure, select the required sub participant, right-click and select **Show in Tree**. Alternatively, select the *Tree* tab. This displays the sub participant's details in a tree structure.



- 5. Select the required participant.
- 6. Right-click and select Properties.

This displays the sub participant's details in the Sub Participant screen.

4.3 Authorisations (Administration Functions Only)

4.3.1 Authorising and Rejecting Actions Pending Authorisation

Authorisation is available on the following administration actions:

- Create and Modify Sub Accounts
- Create and Modify User
- Modify Sub Participant

- Create and Modify Series
- Create Series Delegated.

A user cannot authorise an administration action themselves. An alternate user must authorise those actions. To authorise or reject actions pending authorisations:

1. Select Administration>Authorisations>View Actions Pending Authorisation.

This displays the Actions Pending Authorisation screen.

C	Ac	tions Pending	Authorisation	- ACHO2OJM		
S	ub pa	articipant:	ACHO20			Search
		Operation	Time stamp	User	Note Text	
		Affected Obje	Object Type	Action Type	Sub Participa	

- 2. Click Search.
- 3. Select the required action.
- 4. Right-click and select Authorise Action or Reject Action.

Actions Pending	Auth	orisation	n - ACHO2	DJM		_ 🗆 ×
Sub participant:	ACH	020				Search
Operation	Tirr	ne stamp	User		Note Text	
Create Series			ACHO2006		RS0772 seri	
Create Series	:/201	4.1.04.DM	ACH02006		9.50772 aut	
Modify SSI	- 21/		rise Action			
Obcoloto Cr	- 141	Reject	Action			
Affected Obje	Ob	Select	All	10	Sub Participa	
► ANZB10121	Serie	Сору			ICHO20	
		Sort By	/			
		Colum	n Settinas			

Selecting Authorise Action enables the selected action to be authorised by clicking Yes.

EXIGO	
	Authorise Action Modify SSI
Act for:	
Note:	
	Yes No

Selecting Reject Action enables the selected action to be rejected by clicking Yes.

EXIGO	
	Reject Action Modify SSI
Act for:	ACH020
Note:	
	Yes No

For more information on authorisation fields, see Appendix 5 – Authorisations Field Descriptions.

4.4 Viewing Notes (For Audit Purposes)

When Administrators perform actions such as Creating a User, Modifying a User or Modifying Participant details, a 'Note' is automatically created in the system. This note includes details of the action performed, the user who performed it and the time it was performed.

If an existing user is modified or participant details are updated, it is possible to view the note both before and after a change was made.

The Note screen is archived in the system for 90 days, therefore allowing participants to keep a record of their Administrator's activity for audit purposes.

To view notes created by the system for administration purposes:

1. Select View>Notes.

This opens the Notes screen.

2. Specify the required search criteria and click Search.

A list of all notes is displayed.

- 3. Select the required note.
- 4. Right-click and select Properties.

No	tes - ACHO2OJ	Μ	1			
Sub p	articipant: I	Js	ser:		Oper	atior
	Sub Participant		User		Ope	erati
	MACQ20	A	CHO20V2	Admir	hister	Aut
•	ACHO20	A	Duranti			٦
	ACHO20	A	Propertie	25		-
	CSDE	E	Select All			e S
	CSDE	E	Сору			he:
			Sort By			
			Column Se	ttings.		
			Export to I	=ile		
			Print			
					_	

This displays the *Note* screen with details of the action.

5. Click View Before Change or View After Change to display note details.

Clicking **View Before Change** displays the details before the change was made, and clicking **View After Change** displays the changes that were made. The two screens can then be viewed for any changes.

📓 Note: 1849584	
₽ <mark>_</mark>	
🖃 General	
Note id:	1849584
Note:	
Operation:	Change Business Date
Timestamp:	25/11/2014 12:00 AM
🖃 User	
User:	EXIGOSCHEDULER
Sub participant:	CSDE
Workstation id:	172.20.197.64
Modification	
Object:	
Object type:	Business Date
View Before Chang	e View After Change

Note, depending on what item is selected in the Notes screen determines the screens displayed.

🚰 Change Business Date 📃 🗖 🗙	📓 Change Business Date 📃 🗖 🗙
Θ	©
Current business date: 24/11/2014	Current business date: 25/11/2014

5 Cash Clearance

The Cash Clearance functionality provides for the automated settlement of cash transactions conducted on the ASX Austraclear System. The system has been developed to provide a payments system that manages the settlement of daily ASX Austraclear System transactions in a Real Time Gross Settlement (RTGS) environment.

The system enables banks to control exposures to ASX Austraclear System customers in two ways:

- Under a debit cap environment Banks are able to impose a cash limit on each of their ASX Austraclear System participant's accounts. This is referred to in the system as Internal Credit Management.
- Through the RTGS/Reserve Bank Information and Transfer System (RTGS/RITS) /Alternate Investment Fund (AIF) facility - Banks have the ability to make real time credit decisions about their ASX Austraclear System participants' transactions.

Banks may operate in two clearance type modes:

- AIF AIF banks may manage their customer's credit exposure either in their own Proprietary Payments System (PPS) or in Debit Caps. AIF Banks may also receive pre and post settlement advice for their customers' transactions.
- **Non-AIF** Non-AIF banks must manage their customers' credit exposure through Debit Caps. A non-AIF bank cannot receive pre and post settlement advice.

Additionally, the system allows all cash providers to maintain an Assured Payment Limit which becomes effective in the event that RTGS is not available and the system reverts to Assured Payment mode.

The system also provides for the confirmation of maturing securities (corporate actions) by cash providers and paying agents with proceeds credited to participant's cash records in the ASX Austraclear System.

5.1 Cash Records

The ASX Austraclear System CSD cash record is the main tool for managing cash settlement – the movement of funds from one sub participant to another. Cash records are set up in the system by the CSD operator when the CSD operator sets up the sub participant in the system.

The central bank can set credit limits for a cash provider or it can approve transactions one by one. The cash provider can set credit limits for a sub participant or it can choose to approve transactions one by one. Parameters such as the limit and balance of the cash record are shared between the cash record owner and any other sub participants assigned the authority to use the cash record.

Cash records can be maintained and viewed as either a Cash Provider or a Cash Record Owner.

5.1.1 Maintaining Cash Records as a Cash Provider

All cash records are created on the system with fields set to default values. It is the responsibility of cash providers to check and modify these fields as required.

To maintain cash records as a cash provider:

1. Select Sub Participants>Cash Records>View.

This displays the Cash Records screen.

2. Specify search criteria and click **Search**.

The details of the cash records are displayed.

- 3. Select the required cash record to be modified.
- 4. Right-click and select **Properties As Provider**.

This displays the Cash Record screen.

ecord:	Casl	h record owner:	
Cash Record	Currency	Cash Record	Cash Provid
O03- Proper 003- View C 007- View C 007- Assign 007- Modify 007- Select 008- Copy 008- Sort By 008- Column	ash Record Tra / Unassign Code and Desc All / s Settings to File	nsactions For O nsactions For Pr	

The following cash record fields can be modified:

- Cash Limit
- Temporary Adjustment
- Internal Credit Management
- Pre Settlement Advice
- Priority
- Post Settlement Advice.
- For additional information on the fields, see *Appendix* 6 *Cash Records Field Descriptions.*

🌃 Cash Record: 000-11	1-123456, DUMY6	6 <u> </u>
E Acting for (F9): AC	:HO20 🔹	
🖃 General		_
Cash record:	000-111-123456	
Description:		
Currency:	AUD	
Cash record owner:	DUMY66	
Cash provider:	ABNA2B	
🖃 Cash		
Cash limit:	10,000,000,000	
Temporary adjustment:	0	
Reservations:	0	
Balance:	0	
Internal credit management	: False 💌	
Payment System		
Pre settlement advice:	False 💌	
Priority:	Active 💌	
Post settlement advice:	False 💌	
🖃 State		
Note:		
		OK Cancel

6. Click OK.

Once the required information has been entered, click OK.

5.1.2 Maintaining Cash Records as a Cash Record Owner

All cash records are created on the system with fields set to default values. It is the responsibility of Cash Record Owners to check and modify the cash record priority as required.

To maintain cash records as the Cash Record Owner:

1. Select Sub Participants>Cash Records>View.

This displays the Cash Records screen.

🚫 ASX Austr	acle	ar [ACHO2OJ	M] TEST S	YSTEM				
File View	Sub) Participants	Holdings	Trades	Settlem	ent	Stock Lendin	ng S
		Sub <u>P</u> articipa	ints Users Si	s 🕨				
Default Acting		<u>C</u> ash Record	•		<u>V</u> iew N			
EXIGO Instance		Cash <u>T</u> ransfe	er Groups		•		⊆reate ^K	5
		Standard <u>S</u> et	ttlement Ins	tructions	•			
		<u>R</u> oles			•			
		Pro <u>x</u> ies			•			

2. Specify the search criteria and click Search.

The cash records for the sub participant are displayed.

- 3. Select the required cash record to be modified.
- 4. Right-click and select **Properties As Owner**.

This displays details for the selected cash record in the Cash Record screen.

⊘□	Cash Records - ACHO20JM								
Casl	h record:		Casl	h record owner:	C	ash provider:			
	Cash Record	Curre	ency	Cash Record	Cash Provide	r Cash Limit			
۶.	000-111-12	AUD			ADMAOD	10.000.000			
	003-000-0	AUD		lete					
	003-000-MA	AUD	Properties As Owner Properties As Provider						
	003-000-RT	AUD							
	007-000-0	AUD	View Cash Record Transactions For Owner						
	007-000-MA	AUD		w Cash Record		or Provider			
	007-000-RT	AUD		sign / Unassign.					
	007-000-RT	AUD	Mo	odify Code and D	Description				
	007-000-RT	AUD	Se	lect All					
	008-000-MA	AUD	Co	юy					
	008-000-RT	AUD	1	rt By					
	008-000-RT	AUD		lumn Settings					
	008-000-RT	AUD	Export to File						
	008-000-RT	AUD	Print						
	008-000-RT	AUD		SFECZU	ASXC2B				

5. Select the required cash record priority from the *Cash Record* Priority pull-down menu and click **OK**.

This displays the cash records with the selected priority in the State column in the Cash Records screen.

🌃 Cash Record: 000-111	-123456, DUM¥66	
🗄 Acting for (F9): ACH	1020 -	
🖃 General		<u> </u>
Cash record:	000-111-123456	
Description:		
Currency:	AUD	
Cash record owner:	DUMY66	
Cash provider:	ABNA2B	
🖃 Cash		
Cash limit:	10,000,000,000	
Temporary adjustment:	0	
Reservations:	0	
Balance:	0	
🖃 Cash Record Priority		
Priority:	Active	•
Note:		
	ОК	Cancel

5.1.3 Viewing Cash Records

Cash records can be viewed either as a:

- Cash Record Owner
- Cash Provider.

5.1.3.1 Viewing Cash Records as a Cash Record Owner

To view cash records as a cash record owner:

1. Select Sub Participants>Cash Records>View.

The Cash Records screen is displayed.

2. Enter the sub participant's code in the *Cash Record Owner* field, and click **Search**.

This displays the relevant cash records.

- 3. Select the required cash record.
- 4. Right-click and select View Cash Record Transactions For Owner.

This opens the View Transactions for Owner screen.

Cash Record	ds - A	CHO20JM			
Cash record:		Cast	n record owner:	Ca	ash
		ACH	1020		
Cash Re	cord	Currency	Cash Record	Cash Provider	
MIKE_SU	Pro Pro Vie As Mo Se Co So		vider <mark>I Transactions F</mark> I Transactions F Description		
	E×	port to File			

5. Specify the required search criteria and click **Search**.

This displays the cash record transactions for the owner.

Count	erpart:		Settlement date	e from: 🗵 24/10	0/2014 💌 5	ettlement date	e to: 🗖	💌 Obli	ation state:		• 🛛 🗌	Search
	Settl. Instructi	Sub Participa	Counterpart	Operation Ty	Amount	Settl. Date	Settl. Time Ac	Cash Record	Obligation Sta	Transaction T		
					0.00							

5.1.3.2 Viewing Cash Records as a Cash Provider

To view cash records as a cash provider:

1. Select **Sub Participants>Cash Records>View**.

This displays the Cash Records screen.

2. Enter the cash provider sub participant code in the Cash Provider field and click Search.

This displays the cash provider's cash records.

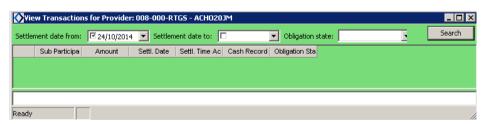
- 3. Select the required cash record.
- 4. Right-click and select View Cash Record Transactions For Provider.

This displays the View Transactions for Provider screen.

ash r	ecord:	C	ash record owner:	Ca	sh provider:	0	Currency:	
							- 8	Search
	Cash Record	Currency	/ Cash Record	Cash Provider	Cash Limit	Temp. Adjust	Reservations	Balance
	000-111-12	AUD	Delete			0.00	0.00	0.00
	003-000-0	AUD	Properties As Ow			0.00	0.00	0.00
	003-000-MA	AUD				0.00	0.00	0.00
	003-000-RT	AUD	Properties As Pro View Cash Record			0.00	0.00	0.00
	007-000-0	AUD				0.00	0.00	0.00
	007-000-MA	AUD	View Cash Recor		or Provider	0.00	0.00	0.00
	007-000-RT	AUD	Assign / Unassign		N	0.00	0.00	0.00
	007-000-RT	AUD	Modify Code and	Description				
	007-000-RT	AUD	Select All					
	008-000-MA	AUD	Сору				0.00	0.00
	008-000-RT	AUD	Sort By				0.00	0.00
	008-000-RT	AUD	Column Settings.					
	008-000-RT	AUD	Export to File					
	008-000-RT	AUD	Print					
	008-000-RT	AUD	SFEC20	ASXC2B				

5. Enter the required search criteria and click Search.

This displays the cash records for the cashprovider.



5.2 Assured Cash Limits

5.2.1 Maintaining the Assured Cash Limit

This functionality allows cash providers to enter a cash limit that becomes effective in the event that RTGS is not available and the system reverts to Assured Payment Mode. This functionality is only available for cash providers.

Once the Assured Payment Mode has been triggered, the Assured Cash Limit of each cash provider automatically propagates down to the cash limit of each of the cash records belonging to the customers of that cash provider. This limit overrides the existing cash limit of each customer's cash record while the system remains in Assured Payment Mode.

When the system resumes operating in RTGS, the cash limits of the customer cash records are reset to their original values.

To maintain the assured cash limit:

1. Select Sub Participants>Sub Participants Users Sub Accounts>Explore.

This displays the Sub Participant Explorer screen.

- 2. Select **Sub Participant** from the *View* pull-down menu.
- 3. Specify the required search criteria and click **Search**.
- 4. Select the required sub participant from the list.
- 5. Right-click and select **Properties**.

The Sub Participant screen is displayed where a cash limit can be specified.

🚫 Sub Participant Explorer - ACHO20JM					
Search Tree	Sub Partic	;ipa	State	Sus	pen
View: Sub Participant Sub participant: ACHO20 Parent sub participant: Sub participant type: Issuer representative:	<u>ACHO20</u>	P C M D S S S C S S C C	roperties reate love belete iuspend lesume how in Tree ielect All lopy iort by column Settings xport to file	↓	
Issued series:		P	rint		

6. Modify the required fields, and click **OK**.

📓 Sub Participant: A	SXC2B	
E Acting for (F9):	ACHO20 -	
🖃 Contact Information	ו	_
Sub participant name:	ASX CLEARING CORPORATIO	
Resident:	$\overline{\mathbf{v}}$	
Country:	AUSTRALIA	
Postal code:	2000	
City:	SYDNEY	
Province or state:	NSW	
Address 1:	LEVEL 4 20 BRIDGE STREET SY	
Address 2:		
Contact person:	RENEE SERVICE	
Phone number:	612 9227 0313	
Fax number:	612 9256 0456	
E-mail:	renee.service@asx.com.au	
TFN:		
Assured cash limit:	0	
🖃 State		
State:	Active	
Suspended:	No	
Note:		
	ок	Cancel

5.3 Corporate Actions

5.3.1 Viewing Discount Securities Maturity Corporate Actions

Issuer representatives and Holders can view discount securities maturity corporate actions. Corporate Actions for DSS consist of Maturity payments only.

All Maturity Corporate Actions are created automatically by the system. This occurs in the overnight recurring tasks depending on the template setup.

The ability to View Holder List on Corporate Actions is restricted to Issuer Representatives only. On the day of maturity, the Issuer Representative is able to view all holders of the maturing security. This list is available on the day of the Corporate Action.

DSS that have matured are displayed in the *Series* screen until the following day. To open the *Series* screen select **Series>Series>View**.

eries	8	ISIN:		Series class:	Seri	es sub class:	Issuer:		From maturity of	late: To maturity date:			
					•				7/11/2014				Search
	Series	Series Name	Description	ISIN	Series Class	Series Sub Cla	Issuer	Issue Date	Market Refere	Rate Adjustment (%)	Maturity Date	Syndication	128F Exe
	ABBF01	FIXED RATE	FIXED RATE	AU3CB0202	FIS	CB	ABBF	22/11/2012			22/11/2017	Domestic	Unknown
	ABCL01	NAME TRAN	TRANCHE A	AU3FN0003	FIS	FN	ABCL	13/06/2007	BBSW_6MO	2.5000000	13/06/2016	Domestic	Unknown
	ABN203	CPI LINKED	CPI LINKED	AU300ABN2	FIS	CB	PRAC	15/08/2006			15/08/2020	Domestic	Unknown
	ABN204	BULLET BO	BULLET BO	AU3CB0037	FIS	CB	PRAC	28/07/2007			28/07/2022	Domestic	Unknown
	ACCU01	FRN 3MTH B	FRN 3MTH B	AU300ACCU	FIS	FN	ACCU	15/12/2004	BBSW_3MO	1.19000000	15/12/2014	Domestic	Unknown
	ACPG01	VARIABLE R	VARIABLE R	AU3FN0004	FIS	FN	ACPG	21/01/2008			22/01/2018	Domestic	Unknown
	ACPG02	VARIABLE R	VARIABLE R	AU3FN0004	FIS	FN	ACPG	21/01/2008			22/01/2018	Domestic	Unknown
	ACT001	CPI INDEXE	CPI INDEXE	AU000ACT0	FIS	TI	ACTT	17/04/2000			17/04/2020	Domestic	Unknown
	ACT002	INDEXED A	INDEXED A	AU3TI00008	FIS	TI	ACTT	12/06/2008			12/06/2048	Domestic	Unknown
	ACT003	CAPITAL IN	CAPITAL IN	AU3TI00009	FIS	TI	ACTT	17/06/2010			17/06/2030	Domestic	Unknown
	ACT004	FIXED RATE	FIXED RATE	AU3CB0177	FIS	CB	ACTT	7/06/2011			7/06/2018	Domestic	Unknown
	ACT005	FIXED RATE	FIXED RATE	AU3CB0194	FIS	CB	ACTT	22/05/2012			22/05/2020	Domestic	Unknown
	ACT006	FIXED RATE	FIXED RATE	AU3CB0207	FIS	CB	ACTT	11/04/2013			11/04/2022	Domestic	Unknown
	ACT007	EIXED RATE	FIXED RATE	AU3(180207	FIS	CB	ACTT	11/04/2013			11/04/2022	Domestic	Linknown

For Issuers of Discount Securities Only

On the Maturity Date, the Issuer (or their Paying Agent) is able to print the 'Maturing Securities Report' via the Report Server. This details maturity payments due that day and the holders entitled to receive those payments. The same details may also be obtained via the online enquiry screens and requested as .csv files.

After ensuring the details reported are correct, the Issuer (or their Paying Agent) accesses the

•

Corporate Actions Settlement Instructions screen to Instruct (Confirm) payments of maturities for the day.

To open the Corporate Actions Settlement Instructions screen:

1. Select Settlement>View Settlements>Corporate Actions Settlement Instructions.

This displays the Corporate Action Settlement Instructions screen.

2. Specify search criteria and click **Search**.

Maturity proceeds are payable on an Irrevocable (I) settlement basis only.

Maturity payments for DSS are available for confirmation upon System Open each morning.

orate action: Underlyin	ig series:	Underlying ISIN:	Issuer:	Iss	uer representati	ve: Operatio		ttlement date: 7/11/2014 💌	Sub particip	pant:	3	Se
Corporate Action	Underlying Se	Event Ref. Co	Operation Ty	Settl. Instr. N	Settlement D	Series	Issuer	ISIN	Volume	Sub Account	Paym. Curren	Payn
AD601420142904101	ADB014	CPN-ADB014	Corporate A	16647538	7/11/2014		ADBK				AUD	-7,50
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647539	7/11/2014		ADBK				AUD	286
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647540	7/11/2014		ADBK				AUD	-28
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647541	7/11/2014		ADBK				AUD	1,500
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647542	7/11/2014		ADBK				AUD	-1,500
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647543	7/11/2014		ADBK				AUD	60
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647544	7/11/2014		ADBK				AUD	-60
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647545	7/11/2014		ADBK				AUD	30
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647546	7/11/2014		ADBK				AUD	-30
AD601420142904101	ADB014	CPN-ADB014	Coupon	16647547	7/11/2014		ADBK				AUD	233
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647548	7/11/2014		ADBK				AUD	-23
ADB01420142904101	ADB014	CPN-ADB014	Coupon	16647549	7/11/2014		ADBK				AUD	1

For Holders of Discount Securities

Participants who hold discount securities within the system receive automatic maturity payments to their nominated cash record.

Participants are able to view information relating to maturity payment dates for each of the series available via the *Corporate Actions* screen.

On the morning of the payment day, the Income Receivable Report is available via the report server for holders of discount securities. This report displays all maturity payments due to the holder for that day. These details may also be obtained via the online enquiry screens and requested as .csv files.

To view DSS Maturity Corporate actions:

1. Select Series>View Corporate Actions.

This displays the Corporate Actions screen.

2. Specify search criteria and click **Search**.

This displays the current corporate actions for maturities and coupon payments.

3. Select the required corporate action.

p	orate action: Und	lerlying series	: Issuer:		Issuer representa	ative: From rec	ord date:	To record date:	: From se	ttlement date:	To settlement	date:	
			CBAA				-			-		• 🕹	Search
	Corporate Action	Complete	List Complete	State	Description	Underlying Se	Event	Issuer	Issuer Repres	Record Date	Mandatory	128F Exempt	
	CB294120142754	I		Activo	CDML CRODA	CP2041	CPN-CB2941	CBAA	CBAA25	16/10/2014		Unknown	
	CB294120142754		Properties				MAT-CB2941	CBAA	CBAA25	16/10/2014	V	Unknown	
	CB295320112904		View Holder Li				MAT-CB2953	CBAA	CBAA25	31/10/2011	V	Unknown	
	CB295320112904		Kiew Holder A				CPN-CB2953	CBAA	CBAA25	31/10/2011	V	Unknown	
	CB295420101314		View Corporal	e Action Settl	ement Instructions	5	CPN-CB2954	CBAA	CBAA25	25/05/2010	V	Unknown	
	CB295420101314		Select All				MAT-CB2954	CBAA	CBAA25	25/05/2010	V	Unknown	
	CB295920072194		Copy				CPN-CB2959	CBAA	CBAA25	21/08/2007	V	Unknown	
	CB296320071644		Sort By				CPN-CB2963	CBAA	CBAA25	27/06/2007	V	Unknown	
	CB296320072564		Column Settin	as			CPN-CB2963	CBAA	CBAA25	27/09/2007	V	Unknown	
	CB296320073464		Export to File				CPN-CB2963	CBAA	CBAA25	28/12/2007	V	Unknown	
	CB296320081654		Print				CPN-CB2963	CBAA	CBAA25	27/06/2008	v	Unknown	
	CB296320082594			Active	CPIV- CB296	CB2963	CPN-CB2963	CBAA	CBAA25	29/09/2008	V	Unknown	
	CB296320083464			Active	CPN- CB296	CB2963	CPN-CB2963	CBAA	CBAA25	29/12/2008	V	Unknown	
	CB296320087240			Active	CPN- CB296	CB2963	CPN-CB2963	CBAA	CBAA25	28/03/2008	V	Unknown	
	CB296320091664			Active	CPN- CB296	CB2963	CPN-CB2963	CBAA	CBAA25	29/06/2009	7	Unknown	

4. Right-click and select View Holder List.

The Corporate Action Holder List screen is displayed.

⊘ ⊂	orporate Actior	n Holder List - A	CHO20JM				
Cor	porate action: 🗛	BN2022007282402	23308	Reco	ord date: 23	/10/2007	List completed: No
	Sub Participant	Sub Account	Volume	Alternative	Benefit		
•	HKBN21	HOUSE	55,800,0	1	1	Í	
Read	у						

- 5. Select the required corporate action holder.
- 6. Right-click and select **Properties**.

This displays the Corporate Action screen.

For field descriptions, refer to Appendix 7 – Corporate Actions Field Descriptions.

🖉 Corporate Action: Al	BN20220073444047204		_	
₽ <mark></mark>				
🖃 General		Nominations close date:	30/12/2007	
Corporate action:	ABN20220073444047204	Business day convention:	Next	
Description:	CPN- ABN202 2007-12-31	Additional comment:		
Event:	CPN-ABN202	- State		
Underlying series:	ABN202	State:	Active	
Issuer:	ABN2	System message:		
Issuer representative:	ABNA21			
128F exempt:	Unknown			
Complete:	No			
Request confirmation:	Yes			
Mandatory:	Yes			
Record date:	24/12/2007			
Announcement date:				
Ex-date:				
- Benefits				
Benefit	Operation Type Sett	tlement Date Amount	Yield (%)	
► 1	Coupon	31/12/2007	0.000000000	
- Alternatives				
	Default Benefits			
▶ 10	V 1			

5.3.2 Viewing Corporate Action Settlement Instructions and Selecting Instructions (for Issuers Only)

To view corporate action settlements and select instructions for Issuers only:

1. Select Settlement>View Settlements>Corporate Actions Settlement Instructions.

This displays the Corporate Action Settlement Instructions screen.

2. Specify search criteria and click **Search**.

Alternatively, select **Corporate Action** from the *Operation type* pull-down menu and click **Search**. This displays only the Actual Gross Corporate Action to be instructed, and not every single Corporate Action.

orporate action:	Underlying series:	Underlying ISIN:	Issuer:	Issuer rep	resentative:	Operation type:
			CBAA			Corporate Action
Corporate Ad	t Underlying Se E	vent Ref. Co Operation	Ty Settl. Instr. N	Settlement D	Series	Corporate Action
						Coupon 😽
						Maturity Payment Redemption

- 3. Select the required Corporate Action to be released.
- 4. Right-click and select **Instruct Underlying Obligation**.

This enables the confirmation of the instructing settlement instruction.

orporate a	ction: Underlyin	ig series: L	Inderlying ISIN:	Issuer:
	Corporate Action	Underlying Se	Event Ref. Co	Operation Ty
ELM IAD LF0 LIB0 SPT SW, WA WA	Properties Instruct Underlyin State History Historical Modifica Select All Copy Sort By Column Settings. Export to File Print	ation	PN-ELMB01 PN-IADB04 PN-LF0102 PN-LF0103 PN-LBQ03 PN-SPT015 PN-SWA703 PN-WACB01 PN-WACB02	Corporate A Corporate A Corporate A Corporate A Corporate A Corporate A Corporate A Corporate A

Click Yes to release the Corporate Action for settlement. Click No to cancel.

EXIGO	
	Confirm instructing settlement instruction 16647538's obligation 16052989. Source ref.: ADB014201429041014342 Event ref. code: CPN-ADB014
Act for:	АСНО20
	Yes No

To view details of an individual corporate action, select the required corporate action in the *Corporate Action Settlement Instructions* screen, right-click and select **Properties**. This displays the *Settlement Instruction* screen.

For details on field descriptions, see Corporate Actions Settlement Instructions.

🖉 Settlement Inst	ruction: 1664753	B				
E.						
🖃 Public Details			Interna	comment:		
Settl. instruction no.:	16647538		Created	i by:	EXIGOSO	HEDULER
Sub participant:	RBAAIM		Creation	n time:	7/11/201	l4 4:00:35 AM
Counterpart:	RBAAIM		Created	d at workstation:	172.20.1	197.64
Settlement date:	7/11/2014		Authori	sed by:		
State:	Matched		Authori	sation time:		
Operation type:	Corporate	Action	Authori	sed at workstatic	in:	
Transaction type:	Gross Corp	orate Action	🖃 Set	tlement Obligatio	n	
Message type:	Payment V	ersus Nothing	Settl. of	bligation no.:	1605298	9
Counterpart ref.:			Settl. of	ol. group state:	Not Read	ły
Settlement method:			Securitie	es locked in:		
Public comment:			Cash loo	:ked in:	No	
Source:	Corporate	Action	Securitie	es confirmed:		
Source ref.:	ADB01420	1429041014342	Paymen	t confirmed:	No	
Accept/Reject:						
Matching settl. no.:						
Counterpart comment						
🖃 Internal Details						
Override sub account	priority: Priority					
Override cash record p	priority: Priority					
Confirmed:	N.					
Instructed:	V					
Security Instruction	n					
+/-	Series	Volume	Price	Sub Account	Priority	
Payment Instruction						
+/-	Amount 7,500,000.00	Currency	Cash Record 092-002-81	Priority Active		

5.3.3 Monitoring Corporate Action Execution

Monitoring corporate action execution is only available to Issuer Representatives This screen provides a summary of all Corporate Actions for the current business day for that Issuer and shows the current settlement state for each Corporate Action.

To monitor corporate action execution:

1. Select Administration>Monitor>Corporate Action Execution.

This displays the Monitor Corporate Action Execution screen.

2. Enter search criteria and click **Search**.

This displays the corporate actions for the selected date.

It Date From: Corporate Action	7/11/2014 To: No. of Settlement Instructions	1.	Search
Corporate Action	No. of Settlement Instructions	State	•

3. Select **Preparing For Settlement**.

This displays the Preparing for Settlement corporate actions.

Monitor Corporate Action Execution - AEHO203M						
View: No Grouping Search:	Settle	ement E	ate 💌 From:	25/11/2014 T o:	25/11/2014	Search
Planned (5)			Corporate Action	No. of Settlement Instructions	State	-
Holder List Created (41) Settlement Instruction Created (0) Preparing For Settlement (9)		•	ELMB0120143084	45	Preparing For Settlement	
			IADB0420143084	41	Preparing For Settlement	
			LF010220143094	3	Preparing For Settlement	
Currently Executing (0)			LF010320143094	3	Preparing For Settlement	
Successfully Executed (0)			LIBQ0320143094	3	Preparing For Settlement	
Failed (0)			SPT01520143084	43	Preparing For Settlement	-
						•

4. Right-click anywhere in the right frame and select **View Corporate Action Settlement** Instructions. This displays the Corporate Action Settlement Instructions screen.

View: No Grouping Search: Sett	lement I	Date From:	7/11/2014 T o	7/11/2014	Search
	iement i		1/11/2014	1/11/2014	boarch
Planned (6)		Corporate Action	No. of Settlement Instructions	State	
Holder List Created (45) Settlement Instruction Created (0) Preparing For Settlement (10)		ADB01420142904	31	Preparing For Settlement	
		APPF0420142881	View Corporate	e Action Settlement Instructio	ns
		APPF0520142881		Preparing For Settlement	
urrently Executing (0)		FMA70320142964		Preparing For Settlement	
uccessfully Executed (0)		FMA00320142954		Preparing For Settlement	
ailed (0)		ILFM0120142931		Preparing For Settlement	
		ILFM0120142931	27	Preparing For Settlement	

- 5. Enter the required search criteria and click **Search**.
- 6. Select the required corporate action.
- 7. Right-click and select Instruct Underlying Obligation.

A dialogue box is displayed enabling confirmation of the instructing settlement instruction.

Co	🐼 Corporate Action Settlement Instructions - ACHO2						
Corpo	rat	e action: Underlyin	ig series: l	Underlying ISIN			
¥2014	29(
		Corporate Action	Underlying Se	Event Ref. Co			
•	A	Properties		CPN-ADB014			
	А	Instruct Underlying	Obligation	CPN-ADB014			
	А	State History	CPN-ADB014				
	А	Historical Modificati	CPN-ADB014				
	А		CPN-ADB014				
	А	Select All	CPN-ADB014				
	А	Сору		CPN-ADB014			
	А	Sort By		CPN-ADB014			
	А	Column Settings		CPN-ADB014			
	А	Export to File		CPN-ADB014			
	А	Print		CPN-ADB014			
	AD	DB01420142904101	ADB014	CPN-ADB014			
	A	DB01420142904101	ADB014	CPN-ADB014			

8. Click Yes.

To confirm the instructions, click **Yes**. For information on field descriptions, see *Monitor Corporate Action Execution*.

EXIGO	
	Confirm instructing settlement instruction 16644729's obligation 16050239. Source ref.: ANZC662014276406143 Event ref. code: CPN-ANZC66
Act for:	ACHO20
	Yes

5.4

Cash Clearance Sessions

When a DAY session ends at End of Day (EOD) (4:28pm Eastern Standard Time (EST)), the following rules apply:

- Any existing transactions already on the RTGS queue can settle up to the end time of DAYEND session (5:17pm)
- No new transactions with a cash element are allowed to settle until the EVENING session (5:25pm – 6:32pm in winter and 5:25pm – 8:32pm in summer). Settlement in EVENING session is only allowed between approved Continuous Linked Settlement (CLS) Banks.

At the close of DAYEND session (5:17 pm), the following rules apply:

- All transactions on the RTGS queue where one or both parties to the transaction are not approved CLS Banks are automatically Recalled/Rejected.
- All transactions on the RTGS queue where both parties to the transaction are approved CLS Banks are retained on the queue for possible settlement in the EVENING session.

At the INTERIM session (5:17pm - 5:25pm), the following rules apply:

- An Interim Cashlist is produced for printing. This report displays any outstanding transactions that have been allowed to remain for possible settlement in the EVENING session. This report includes transactions completed in DAY session.
- No transactions settle in the interim session.

At EVENING session (5:25pm – 6:32pm in winter and 5:25pm – 8:32pm in summer) the following rules apply:

- Approved CLS Banks may complete transactions in this period
- These will be processed by the system to RTGS in the same manner as in DAY session.

At DAYCLOSE session (6:32pm - 7:00pm winter and 8:32pm - 9:00pm summer) the following rule applies:

 A Final Cashlist is produced for printing showing the final cash position of each customer's cash records. This report includes transactions completed in both DAY and EVENING sessions.

On NON-CLS days (days with shortened sessions as requested by the RBA) the following rules apply:

- MORNING, DAY and DAYEND sessions operate as normal
- At the end of DAYEND session the system moves through INTERIM, EVENING and into DAYCLOSE. The Interim Cashlist is still generated and moves the system into EVENING session. The Final Cashlist report is generated as normal at DAYCLOSE.

As all transactions are settled in IRREVOCABLE mode, Cash Providers are not required to perform any clearances.

6 Issuance, Deposits and Withdrawals

6.1 Discount Securities Issuance

The DSS functionality enables participants (issuers) to issue securities. The following are types of securities accepted for deposit in the system:

- BA Bank Accepted Bills
- EBA Electronic Bank Accepted Bills
- CD Negotiable Certificates of Deposit
- ECD Electronic Negotiable Certificates of Deposit
- PN Promissory Notes
- EPN Electronic Promissory Notes
- NB Non Bank Bills.

6.1.1 Issuing a Discount Security

The ability to create a DSS series is restricted to **issuers only**. The maturity date of all electronic securities must be four business days after the deposit date.

To issue a discount security:

1. Select Series>Series>View Delegated.

This opens the Delegated Series Objects screen.

Stock Lending	Series Administration	n Window Help		(5690
	<u>S</u> eries		•	⊻iew
	Series <u>O</u> bjects		•	View Delegated
	⊻iew Corporate Ac	tions		
	View <u>⊂</u> orporate Ac	tion Holder Positions		
	Corporate <u>A</u> ction (Objects	•	
	View <u>H</u> olders of Se	ries		

2. Enter the search criteria and click **Search**.

A list of delegated series templates is displayed.

💌 💽 😒 Search
Series Sub Class Issuer State Change Time Syndication Time sta

- 3. Select the required series template.
- 4. Right-click and select Create Series.

This displays the Create Series screen.

Acting for (F9): Ar				
🖃 Change Time	СНО20 🔽	8		
Activation time:		•		
🖃 General			Override	
Series code:				
Series name:				
Manual entry of CA dates:	No	•		
Description:				
Parent series template:	BA			
External template ref.:	T_REPD	Mandatory		
Issuer:		Mandatory	V	
Issuer representative:		Mandatory	V	
Issue balance responsible:		Mandatory	_	
Form:	🔽 Dematerialize	d Mandatory		
Deposit allowed:	Ves	Mandatory		
Withdrawal allowed:	Ves	Mandatory		
Single issue:	No No	Mandatory		
 Deposit 	_		Override	
Combined deposit allowed:	Ves	Mandatory		
Include combined deposit:			_	
Identifiers & Classifical	tions		Override	
ISIN code: Aut	tomatic 🗖 🦳	Mandatory	V	
Series class:	☑ DSS	Mandatory		
Series sub class:	🖂 ва	Mandatory		
Non-fungible:	Ves	Mandatory		
General Volume Units			Override	
Denomination currency:		Mandatory		
Total volume on issue:		Mandatory		
Volume unit:	Amount	Mandatory		
Decimals in volume:	2 Piniodine	Mandatory		
Minimum settlement volume				
	·· ·	Mandatory		
Multiple volume:	_	Mandatory		
Unit face value:		Mandatory		
· · · ·			Override	
Corporate Action: Gen Issue date:		Mandatory	V	

5. Enter the series details and click **OK**.

To create a new series, information is required in the following fields:

General

- Series Code
- Series Name
- Description
- Issuer
- Issuer Representative
- Issue Balance Responsible
- ISIN Code (either select the check box 'Automatic' for ISIN to be automatically generated, or leave blank if ISIN is to be entered manually)

General Volume Units

- Total Volume on Issue
- Minimum Settlement Volume
- Multiple Volume
- Unit Face Value

Corporate Action General Information

- Issue Date
- CA Cash Record Owner
- CA Cash Record
- CA Sub Account

Corporate Action Maturity Information

- Maturity Date
- Maturity Cash Record

Discount Securities

- Drawer
- Prime Name
- Place Payable
- Payee (note this should be 'Bearer' or full name of payee).

Once a new DSS series has been created, participants can view the series details in the *Series* screen (to see the *Series* screen select **Series>Series>View**).

The issuance of Discount Securities requires the Issuer Representatives to create a series from a delegated template and subsequently deposit that series.

For more information on the fields, see Appendix 8 – DSS Issuance Field Descriptions.

6.2 DSS and FIS Deposits

The deposit functionality enables participants to deposit securities. The following are types of discount securities accepted for deposit in the system:

- BA Bank Accepted Bills
- EBA Electronic Bank Accepted Bills
- CD Negotiable Certificates of Deposit
- ECD Electronic Negotiable Certificates of Deposit
- PN Promissory Notes
- EPN Electronic Promissory Notes
- NB Non Bank Bills.

The following are types of fixed income securities accepted for deposit in the system:

- FRN Floating Rate Notes
- ABS Asset Backed Securities
- TB Treasury Bonds
- TA Treasury Adjustable Bonds
- TI Treasury Indexed Bonds
- TN Treasury Notes
- CB Zero Coupon Bonds (i.e. commercial paper and short term registered notes)

• SG - Semi Government and Fixed Rated Bonds.

The ASX Austraclear System also has the ability to record and settle Fixed Income Securities (FIS) and Discount Securities. A FIS is typically a Bond issued by one of the following:

- The Commonwealth Government
- State Treasuries
- Corporate Entities
- Foreign Entities.

6.2.1 Depositing Discounts and FIS

For all deposits of electronic obligations, the system automatically generates an ISIN code in line with international standards.

In the case of BA, EBA, Bank Endorsed (BE) and NB securities, if the depositing participant is also the Acceptor of that security, they have the option to display the Drawer Name. Drawer details are displayed as per series setup performed by the Issuer.

The maturity date of all electronic securities must be four business days after the Deposit date.

Deposits entered into the system remain on the system for two business days. If the securities are not delivered within this period, the details will need to be re-entered and a new Deposit Receipt printed.

To deposit a discount or FIS:

1. Select **Series>Series>View**.

This displays the Series screen.

2. Enter the search criteria and click **Search**.

This displays all active discount securities and their ISIN codes held in the system.

- 3. Select the required series.
- 4. Right-click and select Request to Deposit Security.

This displays the Deposit Security screen.

Series - ACH020JM							
Series:		ISIN:		Series class:			
Serie	s	Series Name	Description	ISIN			
ABBF01		ETXED RATE	EIXED RATE	Танзсво202.			
ABCL01	F	Properties		J0003.			
ABN203	4	djust Issue Bala)ABN2.				
ABN204		dminister CGS S	ers 30037.				
ACCU01	_	Formition Capitol Fordinetals					
ACPG01	F	lequest to Depo	sit Security	J0004.			
ACPG02	F	Request to Withdraw Security - ぷ					
ACT001	V	'iew Holders		ACTO.			
ACT002	-	ielect All		00008			
ACT003		Ionou All		00009			

5. Enter deposit details and click **OK**.

📓 Deposit Security				_ 🗆 🗵
🖳 Acting for (F9):	ACHO20		·	
- Holding				
Series:		ABCL01		
Series description:		TRANCHE A	CONVERT:	IBLE NO'
ISIN:		AU3FN00030)59	
CUSIP:				
Sub participant:		ACHO20		
Holding sub account:				
Volume:				
Earliest settlement date	:	18/11/2014	•	
Comment:				
Confirming party comme	ent:			
Note:				
				I
		OK		Cancel

6. Print a deposit receipt if required.

For information on how to print a receipt, see Printing a Deposit Receipt below.

6.2.2 Printing a Deposit Receipt

To print a deposit receipt:

1. Select Holdings>View Deposits and Withdrawals.

This displays the Deposits and Withdrawals screen.

- 2. Enter the search criteria and click **Search**.
- 3. Select the required deposit transaction to be printed.
- 4. Right-click and select View Security Deposit Receipt.

This opens the *Deposit Receipt* screen.

Deposits and Wi	thdrawals - <i>i</i>	ACHO20JM		
ub participant:	Type:	Stat	e:	Series:
			•	
Identity No.	Sub Participa	n Confirming Pa	Series	Series Des
523	CMFS20	Properties		RATI
524	CMFS20	Delete		BBSV
579	NSWT22	View Deposit Ser	riac Dataile	T COR
1003	CMFS20	Accept Deposit F		5 A1 1
2639	CMFS20	Reject Deposit P		CAP.
2892	WATC60	кејесс рерозіс н	request	I INSC
4659	GTAL8A	View Withdrawa	Notification	5 B NC
4921	PTHO20	View Transfer A	od Rolooso For	5 A1 1
5268	AIM220			5 A1 F
5853	WATC60	View Security De	posit Receipt	
5974	NSWT22	Select All		Ŭ T COR
6248	CORS20	Сору		5 B FR

5. Click Print.

If unable to print, a printer is required to be set up.

AUSTRACLEAR			
DEPOSIT REPO	RT 24/10/20	14 2:14:48 PM	
ub Participant	:	CMFS20, BTA INSTITUTIONAL SERVICES AUSTRALIA LIMITED	
A.C.N	:		
ssuer	:	NTFC, ISSUER ONLY NEW TERMINAL FINANCING CO PTY LTD	
eries Name	:	NTFC02, FIXED RATE 6.25% 20-SEP-2016	
SIN	:	AU300NTFC026	
eries Description	:	FIXED RATE 6.25% 20-SEP-2016	
ssue Date	:	23/08/2006	
laturity Date	:	20/09/2016	
nnual Interest Rate	:	6.25000000 %	
olume	:	AUD 100,000,000.00	
lolding Account	:	HOUSE	
Current Business Date	:	24/10/2014	
We cer lodged	tify that the with the Aus	securities described hereon are being	
We cer lodged Regula	with the Aus	securities described hereon are being traclear System in accordance with	
lodged	with the Aus	securities described hereon are being traclear System in accordance with	
lodged	with the Aus tion 8.	securities described hereon are being traclear System in accordance with	
lodged Regula	with the Aus tion 8.	traclear System in accordance with	
lodged Regula	with the Aus tion 8.	traclear System in accordance with	
lodged Regula DATE <u>INTERII</u>	with the Aus tion 8. AUTH M RECEIPT B	INTRACLEAR LIMITED	
lodged Regula DATE <u>INTERII</u>	with the Aus ⁻ tion 8. AUTH <u>AUTH</u> <u>M RECEIPT B</u> ed Securities	IORISED SIGNATURE AUTHORISED SIGNATURE	
lodged Regula DATE <u>INTERII</u> Receivi	with the Aus tion 8. AUTH <u>AUTH</u> <u>M RECEIPT B</u> ed Securities Ig.	IORISED SIGNATURE AUTHORISED SIGNATURE Y AUSTRACLEAR LIMITED as described hereon. Subject to detailed	
lodged Regula DATE INTERI Receive checkir	with the Aus tion 8. AUTH <u>AUTH</u> <u>M RECEIPT B</u> ed Securities Ig.	INTRACLEAR LIMITED	
lodged Regula DATE INTERI Receive checkir	with the Aus tion 8. AUTH <u>AUTH</u> <u>M RECEIPT B</u> ed Securities Ig.	IORISED SIGNATURE AUTHORISED SIGNATURE Y AUSTRACLEAR LIMITED as described hereon. Subject to detailed	

6.2.3 Modifying or Deleting a Deposit Request

To modify or delete a deposit request:

1. Select Holdings>View Deposits and Withdrawals.

This opens the Deposits and Withdrawals screen.

- 2. Enter the search criteria and click **Search**.
- 3. Modify or delete the required deposit transaction.
- To modify the deposit details, select the required deposit transaction, right-click, and select **Properties**. This opens the *Deposit* screen.

🖉 Deposit: 1003	
P_	
- Holding	
Series:	FNIM03
Series description:	CLASS A1 1MTH BBSW+0.35%
ISIN:	AU3FN0000030
CUSIP:	
Sub participant:	CMF520
Holding sub account:	HOUSE
Volume:	8,000,000
Earliest settlement date:	25/08/2006
Comment:	
Confirming party comment:	

To delete the deposit before Austraclear confirmation, select the deposit transaction, right-click, and select Delete.

4. Print a deposit slip if required.

6.2.4 Completing a Deposit for Fixed Interest Securities

To complete a deposit FIS in the ASX Austraclear System:

1. Complete a Transfer and Acceptance (T/A) form as the Transferrer.

The T/A form can be obtained from the Share registry. If the Share Registry is ACSL20 then no T/A form is required.

- 2. Arrange to have the T/A marked.
- 3. Present the form to Austraclear with two copies of the Deposit Receipt.

Ensure that the Deposit Receipt is signed in accordance with the signing authorities. The scan and email the documents to <u>SFE.Registry@asx.com.au</u>.

6.2.5 Completing a Deposit for Electronic Discount Securities

Completing a deposit is performed for the EBA, ECD and EPN discount securities. When completing a deposit for discount securities:

- Electronic (E) Security Deposits require no physical securities to be delivered to ASX Austraclear at the time of the deposit.
- After an E Security Deposit is entered, the deposit of the security must be accepted by the depositing participant.
- The depositing participant of an E security must be the Acceptor/Issuer of that security, unless ASX Austraclear has received an authorised request for a nominated participant branch to be the depositing participant.
- The minimum unit face value for depositing ECDs and EPNs is \$50,000. There is no restriction on EBAs.
- While an E Security Deposit is pending authorisation it may be corrected or deleted via the Deposit and Withdrawal screen.

6.2.6 Accepting and Rejecting an E Security Deposit Request

To accept or reject an E security deposit request:

1. Select Holdings>View Deposits and Withdrawals.

This opens the Deposits and Withdrawals screen.

2. Select Deposit from the Type pull-down menu, and Requested from the State pull-down

menu.

- 3. Enter any additional search criteria and click Search.
- 4. Select the required deposit transaction.
- 5. Right-click and select either Accept Deposit Request or Reject Deposit Request.



Selecting Accept Deposit Request displays the Accept Deposit screen. Enter the required details and click OK.

🖉 Accept Deposit		
🕒 Acting for (F9): A	CHO20	-
🖃 General		_
Deposit identity:	375217	
Sub participant:	WOW120	
Series:	ANZB100215	ECD01
Series description:		
CUSIP:		
Issuer sub account:		
Earliest settl. date:	24/11/2014	
Comment:		
Confirming party comment:	:	
🖃 Re-Key Acceptance		
ISIN:	AU3EC12645	516
Issuer:	ANZB	
Issue date:	10/09/2014	_
Maturity date:	10/02/2015	-
Annual interest rate (%):		
Neter	Ko 000 000	
Note:		
	ОК	Cancel

Selecting Reject Deposit Request displays the Reject Deposit screen. Click OK.

🜠 Reject Deposit			
🖳 Acting for (F9):	ACHO	20	•
🖃 General			
Deposit identity:		375217	
Sub participant:		WOW120	
Series:		ANZB100219	5ECD01
Series description:			
CUSIP:			
Issuer sub account:			
Earliest settl. date:		24/11/2014	
Comment:			
Confirming party comme	ent:		
Note:			
		ОК	Cancel

For more information, see Appendix 9 – Deposits Field Descriptions.

6.3 DSS and FIS Withdrawals

The withdrawal function enables participants to input a request for the removal of DSS securities and FIS securities from the ASX Austraclear System.

6.3.1 Withdrawing Discount or Fixed Income Securities

To withdraw a discount or fixed income security:

1. Select Holdings>View Holdings.

This opens the Holdings screen.

- 2. Enter the search criteria and click **Search**.
- 3. Select the required series.
- 4. Right-click and select **Withdraw Security**.

This displays the Withdraw Security screen.

5. Enter the volume and any withdrawal details, and click **OK**.

For field descriptions, see Appendix 10 – Withdrawals Field Descriptions.

To print the Transfer and Release form, right-click in the Holdings screen and select Print.

📓 Withdraw Securit	y			
🕒 Acting for (F9):	ACHO20		•	
- Holding				
Series:		TB0122		
Series description:		TREASURY	BOND 15	-MAR-201'
ISIN:		AU300TB01	224	
CUSIP:				
Sub participant:		SFEC20		
Holding sub account:		HOUSE		
Volume:		1,000,000		
Earliest settlement date	:	29/04/2015	-	
Comment:				
Confirming party comme	ent:			
Note:				
1				
		0	к	Cancel

To print the Transfer and Release form, right-click in the Holdings screen and select Print.

	AUSTRACLEAR I WITHDRAWAL		I2 060 773 03/2015 10:07:54 AM			
Sub Par	rticipant	:	ADIN22, ADC CUSTODY NOMENEES (AUSTRALIA D/A STATE STREET AUSTRALIA LIMITED	A) LIMITED		
A.C.N		:				
Issuer		:	JOFL, ISSUER ONLY JOHN DEERE FINANCIAL LI	HITED		
Series Name ISIN Geries Description		:	JOFL01, FIXED RATE 3.5% 18-DEC-2019			
		1	All3C80226256			
		:	FIXED RATE 3.5% 18-DEC-2019			
Issue D	late	1	18/12/2014			
daturit	y Date	1	18/12/2019			
\nnual	Interest Rate	:	3.50000000 %			
Volume		:	AUD 1,000,000.00			
lokling	Account	:	HOUSE			
imment	t Business Date	:	12/02/2015			
	nts	; MEN	NER RECEIPT FOR SECURITIES			
	We authorise the u	plift of secu	IBER RECEIPT FOR SECURITIES			
Comme	We authorise the u	plift of secu	rities described hereon			
	We authorise the u	plift of secu	rities described hereon			
	We authorise the u total value AUD 1, for release to the p	plift of secu 000,000.00 party whose	rities described hereon signature appears beknw OR			
Comme	We authorise the u total value AUD 1, for release to the p	plift of secu 000,000.00 party whose s of our star	rities described hereon signature appears below OR sling instructions held hy you			
	We authorise the u total value AUD 1, for release to the p	plift of secu 000,000.00 party whose s of our star	rities described hereon signature appears beknw OR			
	We authorise the u total value AUD 1, for release to the p	plift of secu 000,000.00 oarty whose s of our star (rities described hereon signature appears below OR sling instructions held hy you	URE		
	We authorise the un total value AUD 1, for release to the p for release in terms	plift of secu 000,000.00 barty whose s of our star (AUTH	rities described herreon signature appears before or adig seturations beld by you displosmations beld by you displosmations beld by you desized seturation applicable) DRISED SEGNATURE	URE		
	We authorise the u total value AUD 1, for release to the p for release in term DATE Spockness signature	plift of secu 000,000.00 barty whose s of our star (AUTH e for receipt	rities described herreon signature appears before or adig seturations beld by you displosmations beld by you displosmations beld by you desized seturation applicable) DRISED SEGNATURE	URE		
	We authorise the u total value AUD 1, for release to the p for release in term DATE Spockness signature	plift of secu dou,dou.do party whose s of our star (AUTH o for receipt apt of secur	rities described herreon signsture appears before or vegischurzeissen bedding yoo vegischurzeissen bedding yoo vegischurzeisen bedding yoo veg			

6.3.2 Deleting Withdrawal Requests

6.

When a withdrawal request is entered based on an existing holding, the system automatically assigns a state of 'Locked In' to the withdrawal request. Once a withdrawal request is 'Locked In', it cannot be deleted without first cancelling the relevant 'reservation' Settlement Instruction.

To delete a withdrawal request:

1. Select Holdings>View Deposits and Withdrawals.

This displays the Deposits and Withdrawals screen.

2. Enter the search criteria and click **Search**.

All holdings are displayed according to the search criteria. Ensure that the *State*: is set to

Locked. Once a withdrawal is locked in, it takes two days before the request drops off.

õub participant:	Type:	State:	Series:	ISIN:	CUSIP:		
		Locked In					Search
Identity No.	Sub Participan	Confirming Deleted Failed Locked In Pending Rejected Requested	Series Descrip	ISIN CUSIP	Holding Sub A Sub Account	C Issuer Sub Ac Volume	Earli
•							

- 3. Select the required withdrawal transaction.
- 4. Right-click and select **Delete**.
- 5. Check the details and click **OK**.

6.3.3 Completing Withdrawals for Fixed Interest Securities

When withdrawing securities from the system, participants must complete a Transfer and Acceptance (T/A) form as the **transferee** and present it to Austraclear with two copies of the Transfer and Release form. The ASX Austraclear System then completes the T/A and within one hour the stock is inscribed in the participants name at the Registry.

6.3.4 Completing Withdrawals for DSS

Completing withdrawals is performed for EBA, ECD and EPN discount securities. To complete a withdrawal for discount securities:

Participant

1. Print two copies of the *Transfer and Release* form.

The *Transfer and Release* form advises the withdrawing participant whether there are physical securities to be collected.

ASX Austraclear

2. Monitor the withdrawal request using the View Deposits and Withdrawals screen.

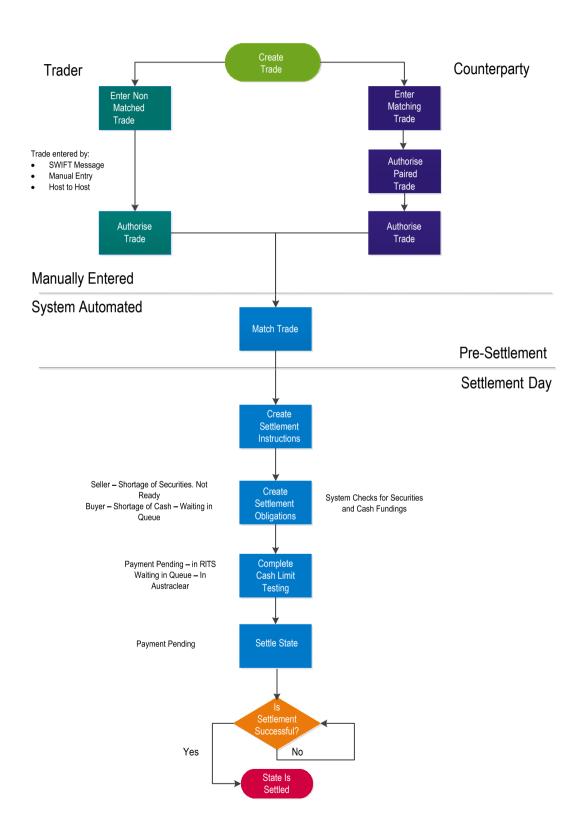
ASX Austraclear

3. Advise the Acceptor/Issuer whether the physical securities are required to be presented to ASX Austraclear.

7 Trade Process Flow

Creating and settling a trade requires the trader to enter a trade and the counterparty to match the trade. Once the trade has been settled, the trading process is complete.

The following flowchart displays the trade process flow.



8 Entering a Trade

There are various methods of entering a trade in the ASX Austraclear System. This includes:

- Cash
- DSS
- FIS
- FX
- Market Repos
- RBA Repos.

8.1 Entering Cash Trades

The cash trade facility allows participants to pay and receive cash on the ASX Austraclear System, either as a same day transaction or for a date in the future. A cash trade is a two sided transaction that requires both the payer and receiver to enter their respective instructions that are matched by the system to effect the settlement. Settlement can be automatic where, if the payer has sufficient funds available, the system affects the transfer of funds with no action required by either counterparty. It may also be a manual process where participants set their cash records to a deferred state and selectively process transactions on their settlement queue.

8.2 Creating Cash Trades

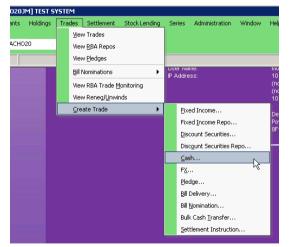
Most fields are required to match the counterparty in the cash entry screen, otherwise the trade will not match in Austraclear. There are a few exceptions where the cash fields do not match, and contain different data/information to the counterparty, yet still match in Austraclear. This includes:

- Trade Date
- Sub Participant
- Cash Type
- Information
- Participant Reference.

To create a cash trade:

1. Select Trades>Create Trade>Cash.

This opens the Create Cash Trade screen.



2. Enter the cash trade details.

Enter the required information in the required fields.

For field descriptions, see Appendix 11 – Cash Field Descriptions.

🌃 Create Cash Trade			_ 🗆 🗵
🕒 Acting for (F9): ACHO	20 -		
Public Trade Details			▲
Sub Participant:	ACHO20		
Counterpart:			
Settle Currency:	AUD		
Pay Receive:	C Pay C Receive		
Trade Date:	18/12/2014		
Settlement Date:	18/12/2014		
Amount:	0.00		
Interest Rate:	0.0000		
Payment Settle:			
Sell Settle Instruction:			
Cash Type:	N/A		
Information:			
Created Time:			
Use SSI:			_
Internal Trade Details			
Cash Record:			
Override Cash Rec. Priority:	•		
Sub participant Ref:			•
		ОК	Cancel

3. Click OK.

Once all of the required information has been entered in the fields, click OK. Note:

If Use SSI is set to Yes and there is no SSI set up, then the trade will not settle. Ensure that the Cash Record field is not blank.

8.2.1 Viewing Cash Trades

To view cash trades:

1. Select Trades>View Trades.

This displays the View Trades screen.

View Tr	rades - AC	H02095												_0
State:		Series:	ISIN:	Sub Partici	pant: Count	erpart:	Trade Type:	1	Currency:		iettlement From: 7 28/01/2015 💽	Settlement 1		Search
T	rade No	Version	ISIN	Sub Participa	Counterpart	Series	Info	Settlement In	Cash Record	PPH	Sub Account	Currency	Sub Participa	Created By
ems Four	nd													

- 2. Enter the required search criteria and click **Search**.
- 3. Select the required trade.

Once a trade has been matched, there is a direct link from the trade to the settlement instruction.

4. Right-click and select View Settlement Instruction.

This displays the where the settlement instruction can be viewed for the matched trade.

ate:	Trades - ACI	Series:	ISIN:	Sub Participa	ant: Count	erpart:	Trade Type:		Currency:	Settle	ment From:	Settlement To:			_ 🗆
				ACSL21				-				12/02/2015		3	Search
	Trade No	Version	ISIN	Sub Participa	Counterpar		: Info	Settlement In	Cash Record	PPH	Sub Account		Sub Participa		
	43	1	AUD00000009		ACHO20 SFEC20	AUD	test trade 1		012-055-83			AUD		ACHO2095 ACHO2095	10.2
	44		w.meeg000009		SFEC20 SFEC20	AUD	test trade 1	19288728	012-055-83			AUD		ACH02095	10.2
	Properties					, nee		1700700	010 000 00			100		Inchiocoro	1010
	Authorise Tra														
	Bulk Authorise														
	View Trade Hi														
	Cancel Trade														
	Show Counte														
		ent Instruction.													
	Confirm/Reje														
	Select All														
	Copy														
	Sort By														
	Column Settin	ngs													
	Export to File														
	Print														
_															
and D	Found														

8.2.2 Cancelling Cash Trades

To cancel a cash trade:

1. Select Trades>View Trades.

This displays the View Trades screen.

- 2. Enter the required search criteria and click **Search**.
- 3. Select the required trade to be cancelled.
- 4. Right-click and select **Cancel Trade**.

Side: Settlement From: Settlement To:								
Maturity Date 10/02/2015	lssuer ANZB	Consideration 9,886,240.52	Interest Rate 0.0000	Trade Type DSS Repo Fi	Trade State Paired			
	Pro	perties			Unmatched			
		norise Trade,		Cash Trade Cash Trade	Unmatched Unmatched			
21/12/2022	AMPR	Authorise Trade		FIS Repo Se	Matched			
22/11/2017	ABBF Can	cel Trade	N	FIS Repo Se	Matched			
9/01/2015 15/04/2015	COMM CON	firm/Reject Canc	el Trade, 🔨	DSS Repo S FIS Repo Se	Matched Matched			
	Sho	w Counterpart Tr / Settlement Inst	ade,,,	Cash Trade	Paired			
10/02/2015	ANZB Con	firm/Reject Trade		DSS Repo Fi	Paired			
22/11/2017	ABBF Prin	t Confirmation Le		FIS Trade	Matched			
9/01/2015	50/1	Trade		DSS Trade	Matched			

5. Click Confirm.

🌠 Cancel Cash Trad	e 141	_ 🗆 ×
Acting for (F9):	ACHO20 -	
Public Trade Det	ails	
Trade Number:	141	
Trade State:	Unmatched	
Trade SubState:		
Sub Participant:	ACSL21	
Counterpart:	SFEC20	
Trade Type:	Cash Trade	
Settle Currency:	AUD	
Pay Receive:	Pay C Receive	
Trade Date:	12/02/2015	
Settlement Date:	12/02/2015	
Amount:	1,000,000.00	
Interest Rate:	0.0000	_
Payment Settle:	🕼 Yes 🌔 No	
Sell Settle Instruction:		
Cash Type:	N/A	
Information:		
		•
	Confir	m Cancel
	Confi	Cancel

8.2.3 Authorising Cash Trades

To cancel a cash trade:

1. Select Trades>View Trades.

This displays the View Trades screen.

- 2. Enter the required search criteria and click **Search**.
- 3. Select the required trade to be au
- 4. Authorised.
- 5. Right-click and select **Authorise Trade**.

8.2.4 Creating Cash Trades at the Sub Participant Level

To create a cash trade at the sub participant level:

1. Select Trades>Create Trade>Cash.

This displays the Create Cash Trades screen.

2. Enter details in the required fields.

👹 Create Cash Trade		_ 🗆 ×
🗄 Acting for (F9): ACH	020 🔹	
Public Trade Details		
Sub Participant:	ACHO20	
Counterpart:		
Settle Currency:	AUD	
Pay Receive:	O Pay O Receive	
Trade Date:	16/12/2014	
Settlement Date:	16/12/2014	
Amount:	0.00	
Interest Rate:	0.0000	
Payment Settle:	⊙ Yes C No	
Sell Settle Instruction:		
Cash Type:	N/A	
Information:		
Created Time:		
Use SSI:		
Internal Trade Details	10 103 10 NU	
Cash Record:		
Override Cash Rec. Priority:		
Sub participant Ref:		-
	ОК Са	ancel
B. Click OK .		

Click OK.

Note: Note the following critical points:

- All GUIs will remain a six character particpant and counterparty entry.
- An unmatched trade will only be visible by the six character counterparty code (or six character proxy code) in the View Trades screen.
- Also note that the SWIFT settlement confirmation message received by the sub participant will show the origional character mnemonic.

8.2.5 Entering DSS Trades

The Discount Security functionality enables participants to settle obligations.

Securities can be pledged for secured borrowing in the system and maturity payments are paid automatically to holders of obligations.

A DSS trade is a two sided transaction that requires both the buyer and seller to enter their respective instructions that are matched by the system to effect the settlement of the transaction. A DSS trade can be initiated by either the buyer or the seller.

The following are types of securities accepted for deposit in the system:

- BA Bank Accepted Bills
- o EBA Electronic Bank Accepted Bills
- CD Negotiable Certificates of Deposit
- ECD Electronic Negotiable Certificates of Deposit 0
- PN Promissory Notes 0
- EPN Electronic Promissory Notes 0
- NB Non Bank Bills.

8.2.6 Creating DSS Trades

All fields in the Create Discount Security trade entry screen are matching with the exception of the following:

- Trade Date
- Sub Participant
- Information
- Participant Reference.

Participants may trade securities from and buy directly into any available sub account. Both buyer and seller must enter the trade details in order for the trade to be confirmed.

Settlement can be automatic where, if the payer has sufficient funds and securities available, the system affects the transfer of funds and securities with no action required by either counterparty. It may also be a manual process where participants selectively manage which transactions enter their settlement queue and the order in which they are processed.

For automatic settlement to occur, both parties sub accounts and cash records must be set to "Active" or "Priority". If one participant sub account or cash record is set to "Deferred", or the transaction is set to "Deferred", the transaction can only be settled manually.

To create a DSS trade:

1. Select Trades>Create Trade>Discount Securities.

This opens the Create Discount Security screen.

2. Enter the required trade details in the fields.

When a code is entered in the Series field and the user tabs out of the field, the ISIN and Maturity Date details are automatically displayed. The Issuer details are also automatically displayed.

Trade Date and *Settlement Date* default to the current business date. Participants may backdate the trade date and forward date the settlement date on a trade by trade basis.

Create Discount Secur Acting for (F9): ACH		
Public Trade Details		
Sub Participant:	ACSI21	
Counterpart:	SPEC20	
Series:	KEBL010415ECD01	
15IN:	AU3EC1424557	
Maturity Date:	1/04/2015	
	Reset	
Drawer:		
Description:		
Issuer:	XEBL	
Side:	C Buy @ Sell	
Trade Date:	12/02/2015	
Settlement Date:	F 12/02/2015 ·	
Face Value:	1,000,000	
Yield:	2.5000	
Payment Settle:	@ Yes C No	
Sell Settle Instruction:		
Settle Currency:	ALD	
Settle Currency: Information:	AUD	
Information:		
Consideration:	996,723.10 Calculate	
Use SSI:	(Yes C No	
🕒 Internal Trade Detail		
Sub account:	HOUSE	
Override Sub Acct Priority:		
Cash Record:		
Override Cash Rec. Priority:		
Sub participant Ref:		

For field descriptions, see Appendix 12 – DSS Field Descriptions.

3. Click Calculate.

Once details have been added, click **Calculate**. *Calculate* is located next to the *Consideration* field. Once *Calculate* has been selected, the discount security trade will be calculated.

4. Click OK.

8.2.7 Confirming DSS Trades

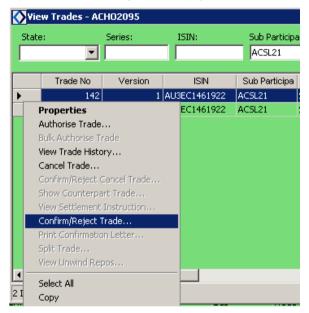
To confirm a DSS trade:

Vie Vie	w Trades - Al	EH02095									- D ×
State	•:	Series:	ISIN:	Sub Partic	ipant: Count	erpart:	Trade Type:	Currency:	Settlement From:		Search
	Trade No	Version	ISIN	Sub Participa	Counterpart	Series	Info	Settlement In Cash Record	PPH Sub Account	Currency Sub Pa	rticipa Created By C
•		_									J
Ready	S	elect T	rade	s>View	Trade	25					h.

- 2. Select **DSS Trade** from the *Trade Type* pull-down menu, and click **Search**.
- 3. Select the required trade to be confirmed.
- 4. Right-click and select **Confirm/Reject Trade**.

This opens the Confirm/Reject Discount Security screen. Check the details and click Confirm or Reject.

When the counterparty selects the menu option to confirm or reject, a mirrored image of the original contrary trade report to be confirmed/rejected is displayed.



5. Confirm the details of the trade and click **Send**.

i

- Note: Note the following critical points:
- All GUIs will remain a six character particpant and counterparty entry.
- An unmatched trade will only be visible by the six character counterparty code (or six character proxy code) in the *View Trades* screen.
- The DSS GUI confirmation functionality will not have four character matching for this scenario as the system reverses the six character participant and six character

counterparty code for both buy and sell details of the unmatched trade to create the matched trade. If a sub participant wants to match an alleged trade then they will need to enter a trade as per normal trade entry.

 Also note that the SWIFT settlement confirmation message received by the sub participant will show the origional character mnemonic.

8.2.8 Entering FIS Trades

FIS trades are usually a Bond issued by one of the following:

- The Commonwealth Government
- State Treasuries
- Corporate Entities
- Foreign Entities.

The ASX Austraclear System has the ability to record and settle non paper FIS.

FIS trades are two sided transactions that require both the buyer and seller to enter their respective instructions that are matched by the system to effect the settlement of the transaction. FIS trades can be initiated by either the buyer or the seller.

FIS trades can be pledged for secured borrowing in the system and interest and maturity payments are paid automatically in the system to holders of FIS trades.

All fields in the FIS trade entry screen are matching with the exception of the following:

- Trade Date
- Sub Participant
- Information
- Participant Reference.

Participants may trade securities from and buy directly into any available sub account. Both buyer and seller must enter the trade details in order for the trade to be confirmed.

Settlement can be automatic where, if the payer has sufficient funds and securities available, the system affects the transfer of funds and securities with no action required by either counterparty. It may also be a manual process where participants selectively manage which transactions enter their settlement queue and the order in which they are processed. For automatic settlement to occur, both parties sub accounts and cash records must be set to "Active" or "Priority". If one participant sub account or cash record is set to "Deferred", or the transaction is set to "Deferred", the transaction can only be settled manually.

FIS trades can be either:

- Payment Settle Yes
- Standard Settlement Instructions Yes
- Standard Settlement Instructions No.

8.2.9 Creating FIS Trades

To create a FIS trade:

1. Select Trades>Create Trade>Fixed Income.

This displays the Create Fixed Incomescreen.

2. Enter the required trade details.

When the Series code is entered in the Series field, additional fields are populated when the user moves to the next field. This includes the following fields:

- ISIN
- Maturity Date
- Annual Interest
- Description

- Issuer
- Sell Settle Instruction
- Settle Currency.

Trade Date and Settlement Date default to the current business date. Participants may backdate the trade date, and forward date the settlement date on a trade by trade basis.

The Use SSI field defaults to **Yes** indicating that the trade will settle via the default cash record/sub account. To select an alternate cash record and/or sub account on a transaction by transaction basis, select **No** in the Use SSI field. The pull-down menu in the Sub Account and Cash Record fields may be used to select from the lists available.

For field descriptions, refer to Appendix 13 – FIS Field Descriptions.

📓 Create Fixed Income		_ 🗆 🗙
Hand Acting for (F9): ACH	020	
Public Trade Details		
Sub Participant:	ACH020	
Counterpart:		
Series:		
ISIN:		
Maturity Date:		
	Reset	
Annual Interest:		
Description:		
Issuer:		
Side:	C Buy C Sell	
Trade Date:	₩ 28/01/2015	
Settlement Date:	₩ 28/01/2015	
Face Value:	[0	
Yield:	<u>o</u>	
Payment Settle:		
Sell Settle Instruction:		
Settle Currency:		
Information:		
Consideration:	Calculate	
PPH:		
Use SSI:		
 Internal Trade Details 		
Sub account:		
Override Sub Acct Priority:		
Cash Record:		
Override Cash Rec. Priority:		
Sub participant Ref:		
	•	
	ск	Cancel

3. Click Calculate.

Once all of the details have been entered, click Calculate. Calculate is next to the Consideration field.

4. Click OK.

8.2.10 Creating FIS Trades with Payment Settle Yes

To create a FIS trade with payment settle of Yes:

5. Select Trades>Create Trade>Fixed Income.

This displays the Create Fixed Incomescreen.

6. Enter information in the required fields.

Ensure that Yes is selected for Payment Settle.

🕍 Create Fixed Income						_ 🗆 🗵
C Acting for (F9): ACH	1020 -					
Counterpart:	AAPC30					•
Series:	5A2006					
ISIN:	AU3005A20061	Consideration:	, [0	Calculate		
Maturity Date:	8/08/2034	PPH:		Calculate		
	Reset	Use SSI:	● Yes C No			
Annual Interest:	0.0000	 Internal Trade Details 				
Description:	CLASS A 1MTH BBSW + 0.32% 08-AUG-2034	Sub account:				
		Override Sub Acct Priority:	•			
Issuer:	SAM6	Cash Record:				
Side:	C Buy C Sell	Override Cash Rec. Priority:	•			
Trade Date:	☑ 18/11/2014 💌	Sub participant Ref:				
Settlement Date:	☑ 18/11/2014 💌					
Face Value:	6					
Yield:	0					
Payment Settle:						
Sell Settle Instruction:						
						•
					ОК	Cancel

7. Click OK.

When all the required information has been entered, click OK.

8.2.11 Creating FIS Trades with Standard Settlement Instructions Yes

To create a FIS trade with Standard Settlement Instructions of Yes:

1. Select Trades>Create Trade>Fixed Income.

This displays the Create Fixed Incomescreen.

2. Enter information in the required fields.

Ensure that Yes is selected for Use SSI.

📓 Create Fixed Inco	ome		_ 0 2
E Acting for (F9):	ACH020 ·		
Counterpart:	AAPC30		
Series:	SA2006		
ISIN:	AU3005A20061	Consideration: 0 Calculate	
Maturity Date:	8/08/2034	PPH:	
	Reset	Use SSI: © Yes C No	
Annual Interest:	0.0000	Internal Trade Details	
Description:	CLASS A 1MTH BBSW + 0.32% 08-AUG-2034	Sub account:	
		Override Sub Acct Priority:	
Issuer:	SAM6	Cash Record:	
Side:	C Buy C Sell	Override Cash Rec. Priority:	
Trade Date:	18/11/2014 ▼	Sub participant Ref:	
Settlement Date:	18/11/2014 💌		
Face Value:	þ		
Yield:	0		
Payment Settle:			
Sell Settle Instruction:			
		ОК	Cancel

3. Click OK.

8.2.12 Creating FIS Trades with Standard Settlement Instructions No

To create a FIS trade with Standard Settlement Instructions of No:

1. Select Trades>Create Trade>Fixed Income.

This displays the Create Fixed Incomescreen.

2. Enter information in the required fields.

Ensure that No is selected for Use SSI.

🖉 Create Fixed Inco	ome				
E Acting for (F9):	ACHO20 -				
Counterpart:					
Series:					
ISIN:		Consideration:	0		Cal
Maturity Date:		PPH:			1
Annual Interest:	Reset	Use SSI:	C Yes	⊙ No	
		🖃 Internal Trade Details		2	
Description:		Sub account:			
		Override Sub Acct Priority:		•	
Issuer:		Cash Record:			
Side:	O Buy O Sell	Override Cash Rec. Priority:		•	
Trade Date:	8/12/2014 💌	Sub participant Ref:			
Settlement Date:	8/12/2014 💌				

- 3. Double-click in the Sub Account field to select a sub account.
- 4. Double-click the in the Cash Record field and select a cash record.
- 5. Click OK.



Note: Note the following critical points:

- All GUIs will remain a six character particpant and counterparty entry.
- An unmatched trade will only be visible by the six character counterparty code (or six character proxy code) in the *View Trades* screen.
- Also note that the SWIFT settlement confirmation message received by the sub participant will show the origional character mnemonic.

8.2.13 Entering FX Trades

The ASX Austraclear System allows electronic confirmation of spot and forward currency deals for both \$A and cross currency transactions and enables settlement of the \$A transaction leg.

There are two methods for confirming Foreign Exchange deals in the system:

- Two sided transaction This requires both parties to enter their respective instructions that are matched by the system to effect the settlement.
- FX only transactions between banks and their corporate counterparties This involves the bank entering their side of an FX transaction and the corporate counterparty confirming the entry effectively eliminating the need for a dual sided entry. Transactions confirmed using these methods also generate a Confirmation Report to corporate participants that can be printed and retained. This process eliminates the need for banks to send paper-based confirmations to their corporate counterparties and allows them to be certain that confirmations are being received by the counterparty.

8.2.14 Creating FX Trades

There are two methods that can be used to create FX trades. This includes:

- ASX Austraclear System
- SWIFT.

8.2.15 Creating FX Trades Using the ASX Austraclear System

Enter the following fields

- Sub Participant
- Counterparty
- Trade Date
- Settlement Date
- Exchange Rate
- Method Dealt
- Amount (Buy and Sell Side)

- Currency
- SSI.

All fields with a red triangle in the corner are a matching field. In the FX entry screen, the non- matching fields are as per below:

- Trade Date
- Information
- Sub Participant Reference.

To create an FX trade:

1. Select Trades>Create Trade>FX.

This opens the Create FX Trade screen.

🖉 Create FX Trade			
E Acting for (F9): ACH	020 🔹		
🖃 Public Trade Details			
Sub Participant:	ACHO20		
Counterpart:			
Trade Date:	18/11/2014 💌		
Settlement Date:	18/11/2014 💌		
Exchange Rate:	ĺ0		
Method Dealt:	DIRECT		
Settle Domestic Currency:	🔿 Yes 💿 No		
Settle Foreign Currency:	🔿 Yes 🕟 No		
Information:			
🖃 Buy			
Amount:	0		
Currency:			
Settle Instruction:			
Use SSI:	⊙ Yes C No		
🖃 Sell			
Amount:	0		
Currency:			
Use SSI:	⊙ Yes ⊂ No		
Sub participant Ref:			
		ок	Cancel

2. Enter the FX Trade details.

For more information on field details, refer to Appendix 14 - FX Field Descriptions.

3. Click OK.

This displays a dialogue box providing the trade number, and details as to whether the trade is matched.

Acting for (F9): AC	H020 ·	
Public Trade Details		
Sub Participant:	ACH020	
Counterpart:	AAAA20	
Trade Date:	26/11/2014	
Settlement Date:	26/11/2014	
Exchange Rate:	98	
Method Dealt:	DIRECT	
Settle Domestic Currency:	C Yes C No	
Settle Foreign Currency:	C Yes C No	
Information:		
- Bry	EXIGO Trade Number 3804 has been created	I. It is Unmatched
🗇 Buy	Trade Number 3804 has been created	I. It is Unmatched
Amount:	Trade Number 3804 has been created	
Amount: Currency:	Trade Number 3804 has been created	I. It is Unmatched
Amount:	Trade Number 3804 has been created	I. It is Unmatched
Amount: Currency:	Trade Number 3804 has been created	I. It is Unmatched
Amount: Currency: Settle Instruction:	Trade Number 3804 has been created	I. It is Unmatched
Amount: Currency: Settle Instruction: Use SSI:	Trade Number 3804 has been created	I. It is Unmatched
Amount: Currency: Settle Instruction: Use SSI: Sell	Trade Number 3804 has been created	I. It is Unmatched
Amount: Currency: Settle Instruction: Use SSI: Sel Amount:	Trade Number 3804 has been created	I. It is Unmatched
Amount: Currency:	Trade Number 3804 has been created	I. It is Unmatched

4. Click OK.

If the trade is not authorised, a dialogue box is displayed providing information on whether the actions need to be authorised.

🚰 Create FX Trade	
C Acting for (F9): AO	H020 🖌
🖃 Public Trade Details	
Sub Participant:	Асного
Counterpart:	Балаго
Trade Date:	26/11/2014
Settlement Date:	26/11/2014
Exchange Rate:	98
Method Dealt:	DIRECT
Settle Domestic Currency:	C Yes C No
Settle Foreign Currency:	C Yes C No
Information:	X
0	his action needs to be authorised before being effective.
Amount:	
Currency:	
Settle Instruction:	

5. Click **OK**.

The trade has now been created.

8.2.16 Creating FX Trades Using SWIFT

The SWIFT interface enables bank users to send MT300 SWIFT messages to initiate FX transactions without having to make any software changes to their internal systems or SWIFT interfaces. This has been achieved by the creation of a SWIFT bureau BIC service for corporate users. This enables bank users to route MT300 messages directly to a participant without having to nominate a specific sub participant code within the text of the SWIFT message for FX transactions.

ASX is responsible for the allocation of SWIFT BICs to corporate users and for the maintenance of SWIFT BICs for bank users. When initiating an FX transaction via SWIFT, bank users can elect to receive an MT300U response message when their counterparty confirms the transaction.

In addition, if a counterparty rejects a transaction, the bank user can elect to receive an MT398 response message indicating the reject reason.



Note: Note the following critical points:

All GUIs will remain a six character particpant and counterparty entry.

- An unmatched trade will only be visible by the six character counterparty code (or six character proxy code) in the View Trades screen.
- The FX GUI confirmation functionality will not have four character matching for this scenario as the system reverses the six character participant and six character counterparty code for both buy and sell details of the unmatched trade to create the matched trade. If a sub participant wants to match an alleged trade then they will need to enter a trade as per normal trade entry.
- Also note that the SWIFT settlement confirmation message received by the sub participant will show the origional character mnemonic.

8.2.17 Entering Market Repos Trades

A Repurchase Agreement (Repo) is a contract involving the sale of a security and the simultaneous agreement to buy it back at an agreed price at a future date. The ASX Austraclear System Market Repo module provides a facility to record and settle both first and second transaction legs of a Repo. The system also allows participants to renegotiate and unwind the second leg of Repos. Market Repos can be entered using both FIS and DS.

8.2.18 Creating Market Repo Trades

All fields in the Repo entry screen are matching with the exception of:

- Trade Date
- Sub Participant
- Information
- Participant Reference.

Market Repo trades can be created as either a FIS Repo or a DS Repo. To create a market Repo trade:

1. Select Trades>Create Trade>Fixed Income Repo/Discount Securities Repo.

This displays the Create FIS Repo First Leg or Create DSS Repo First Leg screen.

2. Enter the market Repo details.

Depending on the Repo selected, enter the required details.

When the *Counterpart* and the *Series* fields have been entered, the following fields are automatically populated (or greyed out) in the *Create FIS Repo First Leg* screen:

- ISIN
- Maturity Date
- Annual Interest
- Description
- Issuer
- No of Days
- Trade Date
- 1st Trans Date
- 2nd Trans Date
- Sell Settle Instruction
- Settle Currency
- Unwind Consideration
- PPH
- Sub Account
- Cash Record.

When the *Counterpart* and the *Series* fields have been entered, the following fields are automatically populated (or greyed out) in the Create DSS Repo First Leg:

• ISIN

- Maturity Date
- Drawer
- Description
- Issuer
- No of Days
- Sell Settle Instruction
- Settle Currency
- Unwind Consideration
- Sub Account
- Cash Record.

The Use SSI defaults to **Yes** indicating that the cash will settle via the default cash record. To select an alternate cash record on a transaction by transaction basis, select **No** for Use SSI field. The pull-down menu in the cash record field maybe used to select from the list of available cash records.

For field descriptions, see Appendix 15 – Market Repos Field Descriptions.

Public Trade Details		Settle Currency:	AUD		
Sub Participant:	SPEC20	Information:	-		_
Counterpart:	AC9.21				
Series:	780133				
ISIN:	AU3780000101	1. Sec.		-	
Maturity Date:	21/04/2023	Consideration:	1,238,040.00	Calc both consid.	
	Reset	Unwind Consideration:	1,239,227.16	Calculate	
Annual Interest:	5.5000	PPH:	123.804		
Description:	TREASURY BOND 21-APRIL-2023 5.5%	Use SSI:	C Yes C No		
Cesciption.	Therefore and a second and the	Internal Trade Details	-		
		Sub Account:	HOUSE	1	
		Override Sub Acct Priority:	2		
Issuer:	COMM	Cash Record:	003-000-RTGS		
Side:	(Buy ⊂ Sell	Override Cash Rec. Priority:	1		
Trade Date:	TT 12/02/2015 ·	Sub participant Ref:			
1st Trans Date:	17 12/02/2015				
2nd Trans Date:	[⁷⁷ 26/02/2015 ▼				
No. Of Days:	14				
Face Value:	1,000,000				
Yield:	2.5000				
Cash Rate:	2.5000				
Margin Ratio:	100				
Payment Settle:	G Yes C No				

🖉 Create D55 Repo	First Leg	
Acting for (F9):	ACHO20	
Public Trade De	tails	<u> </u>
Sub Participant:	ACHO20	
Counterpart:		
Series:		
ISIN:		
Maturity Date:		
	Reset	
Drawer:		
Description:		
Description:		
Issuer:		
Side:	C Buy C Sell	
Trade Date:	27/10/2014	
1st Trans. Date:	27/10/2014	
2nd Trans. Date:		
No of Days:		
Face Value:	Ó	
Yield:	ĺ0	
Cash Rate:		
		OK Cancel

3. Click OK.

8.2.19 Viewing Market Repos from the View Trades and Reneg/Unwind Screen

Market repos can be viewed from the View Trades screen.

To view the View Trades screen, select Trades>View Trades.

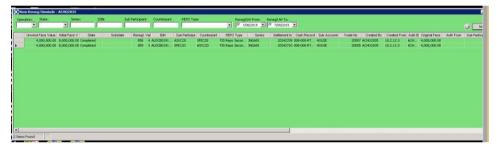
The screen below shows the initial face value as well as the remaining face value that is to be unwound.

View 1	Trades - AC	1102035																						
State: Settled	Sen IVS		150%		Sub Part	icipent:	Counterpart:	Trade Ty	/pe:		Sub	participa	nt Ref: S		Settlement From: 17 7/08/2015									0
Trade Nu	lamber:	Authorise	t Trad		Curren		Include 2nd Leg	Trades	Open	Contract			enter enter	н	To:		F irenes							
In	nitial Face V	Face Value	Sub Part	Tra	de Type	Sourc	Settlement Date				Spit Fe S			Auth Tin	Versio Counterpa	Spit	Settlement I	ISIN	Series	Tracle Subst		Trade N	Consideration	Unwind Cone
•		8,000,000.00				Aus	7/08/2015			Sett			ACH02035		5 SFEC20		20342702 AU30		INGADI		icttled		8,508,160.00	
		8,000,000.00				Aux	7/08/2015			Setti			ACH02035		4 A5XC20		20342701 AU30		INGA01		lettled		8,508,160.00	
		4,000,000.00				Aus.	7/08/2015 7/08/2015		Sell Buy	Settl			ACH02035 ACH02035			20	20342710 AU30 20342709 AU30		INGA01 INGAD1		ettled ettled		4,254,080.00	

Market repos that have been renogotiated or unwould can be viewed from the View Reneg/Unwinds screen.

To view the View Reneg/Unwinds screen, select Trade>View Reneg/Unwinds.

The screen below shows the initial face value and the unwind face value.



The *View Trades* screen includes a 2nd Leg Trades filter check box. It is only enabled when **All** trade types have been selected for search and always defaults to OFF as seen below.

By selecting Include 2nd Leg Trades, the 2nd leg repos will be displayed as seen below.

OTICW	rades - ACI	102035																	
State:	Serie	151		Sub Particip	anti Cou	unterparts	Trade Type		Sub par	icipant Ref:		rk From: Settl							
				ASNC20							F F 5/08	V2015 · 17	7/08/2015	-					🔕 Sea
																			• <u> </u>
Trade No.	a barr	Authorised: 1	trade Tuter	Currency				pen Contrac	6	Fn	and the second	Tot							
-						dude 2nd Leg 1							Elm						
		21																	
In	tal Face V	Face Value Sub I	Parti Trade 1	Type 1	Source Set	ttlement Date	2nd Trans	Side Settle	Spit Fa Sp /	utho Auth By	Auth Tim Versio	Counterpa Split.	Settlement I	ISN	Series	Trade Subst Trade State	Trade N Consid	leration	Inwind Consi Cre
		0,000,000.00 ASXC			us	5/08/2015	5		Y	s ACH02035		SFEC20		AU3FN0015061	INSA02	Settled			3,107,785.14 ACHOD
		3,000,000.00 ASXC			NUS	5/08/2015	8			B ENGOSCH		SFEC20		AU3FN0015061	INGA02	Matched			3,108,125.70 EXIGO
		,000,000.00 ASXC			us	5/08/2015	5			# ACH02035		SFEC20		ALIODODKFWH50	KFW217	Settled			033,550.51 ACHOG
		4,000,000.00 ASXC			NS	5/08/2015	D			B ENGOSCH		SPEC20		AUCCODKPWH50	KFW217	Matched			4,033,992.55 EXIGO
		5,000,000.00 ASXC			1	5/08/2015	S			is ACHO2035		SFEC20		AU3EC1490079	MHCB120	Settled			4,999,178.24 ACHOR
		5,000,000.00 ASXC			us	5/08/2015	D			s EDGGOSCH		SPEC20		AU3EC1490079	MHCB120	Matched			4,999,726.08 EX3GO
		10,000,000 ASXC			425.,	5/08/2015	5			H ACH02035		SPEC20		AU3EC1497918	UCEL070	Settled			9,991,240.80 ACHOS
	13	10,000,000 ASXC	20 DSS Repo Seco	ond Leg A	us	5/08/2015	B	11	4	B EDGGOSCH	3	SFEC20		ALI3EC1497918	UCEL070	Matched	20400 9,990,	967.07	9,992,335.72 EX060
3 Items Fo	und [-									

One or numerous trade types can be selected from the Trade Type pull-down menu.

			and a		_	Investingenter	designed 1							11.		
	•															
	Dista-	Car	iar) rome	SARW	-	Conternati	Trade Time:		distantiation in the		Teller Collegent From Co	Mineral Tex				
	State:		1051			counterparts.			200 balocity	ent Kert						-
Intel Name Intel Yes Case Transform Case Transform Product Control Prod Product Control P		-		μειτέο					-		1 1 5/06/2015 1 1º	7/06/2015				Searc
Native Multiple Native Multiple Operating Operating Native Multiple									a							
Constraints Constraint Constraint Constraint Constraint	Trade N	lunber:	Authorised: Tra	de Date: Ourren	XY2					From	To:					
Dist Dist <thdis< th=""> Dist Dist D</thdis<>					-	Isobile and the	DSS Repo	SecondLeg	10			Trading Press				
3.000.000 # XEV PS Figure First Log Acc. 5000.000 # XEV PS Figure	-				-		DSS Trade									
3.000.000 # XEV PS Figure First Log Acc. 5000.000 # XEV PS Figure		v soe'l lette	Face Value Sub Par	ti Trade Type	Sourc	Settlement Date	FIS Repo F	rst Leg	* th	a Auth By	Auth Tim Versio Counterpa Sp	it Settlement I ISN	Series	Trade Subst Trade State	Trade N Consideration	Unwind Consi Crev
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX			3,000,000,00 45(020)	FIS Repo First Leo	Arr.	5/08/2015			Yes	40402035	S SPEC20	20140301 ALI3EN0015061	195002	Settled	20395 3.107,700.00	3,107,705,14 (004020
4.000.000.000 // 1515/spc //stellup Aux. 5500/015 Set																
COND.000.000 // 155 Beg-Seending Ava. Step2015 D/v Yes D/s2020-L 3 // 97C23 Automative PW017 Method 2020 V/03.440.0 Add/s2025 E2020 Automative PW017 Method 2020 V/03.440.0 Add/s2025 E2020 Automative 2020 Automative			4.000.000.00 ASXC20	FIS Repo First Leg	84	5/08/2015		Settl	Yes	ACH02835	5 SFEC20	20340303 ALX000KPV/HSD	1/FW217	Settled	20389 4.033.440.00	4.033.550.51 ACHO20
KORKUNGA BACKO DISAmperketang Aus. SIRADIST Sira			4,000.000.00 ASXC20	FIS Repo Second Leg	Ac.15		B _{AY}		Yes	Edgosch	3 SPEC20	ALCOODKPWHS0	IFW217	Matched		
NOMEOROF. SOCIO DIS Reported car Aus. Employee Set S					Aut			Setti				20340305 AU3EC1490079		Settled		
IDUBUQUE ASICID DESTROYMENT Asic EXERCISE Set Set <td></td> <td></td> <td>5,000.000.00 A5XC20</td> <td>DSS Repo Second Leg</td> <td>hp.</td> <td>5/06/2015</td> <td>8.7</td> <td></td> <td>Yes</td> <td>EDGOSCH_</td> <td>3 SPEC20</td> <td>AU3EC1490079</td> <td>MHCB129</td> <td>Matched</td> <td>20396 4,999,041.28</td> <td>4,999,726.08 EX8605</td>			5,000.000.00 A5XC20	DSS Repo Second Leg	hp.	5/06/2015	8.7		Yes	EDGOSCH_	3 SPEC20	AU3EC1490079	MHCB129	Matched	20396 4,999,041.28	4,999,726.08 EX8605
			10,000,000 ASXC20	DSS Repo First Leg	Aut.	5/08/2015	Sel	Setti	Yes	ACH02035	S SFEC20	20340307 AU3EC1497918	LICEL070	Settled	20397 9,990,967.07	9,991,240.80 ACHO20
			10,000,000A5x020	DSS Repo Second Leg	As.	5/08/2015	Buy		Yes-	EDG05CH	3 SPEC20	AU3EC1497918	UCBL070	Matched	20400 9,990,967.07	9,992,335.72 EX8605
	•															
	Itens F	ound														

If either DSS Repo or FIS Repo Second Leg is selected in the *Trade Type* pull-down menu, the second leg repos will not appear in the *View Trades* screen.

riew Trades	- ACH02035																
ate:	Series:	ISIN:			Counterpart:	Trade Type:			ipent Ref:		lettlement from:	Settleme	ent To:				
			ASDC	20		DSS Repo Se	cond Leg		(A. 1997)								3
ade Number:		sed: Trade		ency:		Op	en Contract:		Fro	6:	To:		and the second second				
		• F	2	-		(6928-)			irans Date 🎦	3/08/2015	7/08/2	2015	Electric factor				
Intel Fac	e V Face Valu	e Sub Parti	Trade Type	Sourc	Settlement Date	2nd Trans Si	te Sette	Solt Fall Sol Av	tho Auth By	Auth Tim	Versio Counterpr	e Solt Se	ttlement I ISN	Series	Trade Subst Trade State	Trade N Consideratio	Unwind Consi
			IS Repo First Leg	ALS.	\$/08/2015	Sel	Settl	Ye	ACHO2035		5 SFEC20		20340301 AU3FN0015061	INGAO2	Settled	20385 3,107,700.0	
			15 Repo First Leg	Aus	5/06/2015	Sel		Yes			5 SFEC20		20340303 AU0000KPWH50	KPW217	Settled	20389 4,033,440.0	
			ISS Repo First Leg ISS Repo First Leg	ALS.	5/08/2015 5/08/2015	Sel Sel		Yer			5 SFEC20 5 SFEC20		20340305 AU3EC1490079 20340307 AU3EC1497918	MHCB120 UO8L070	Settled	20393 4,999,041.2 20397 9,990,967.0	
	10,000,000	- MONC20 E	OD Keps Past Leg	MUS.C	5/06/2015	261	Seco)	1.50	ACHUZUSS		5 5/6020	1.0	CO340307 MUSEC 1497910	0081870	26060	20397 9,990,967.0	/ 9,991,240.007
e Round	and photos			_													

8.2.20 Configuring Market Repo's to Auto-unwind

The auto-unwind functionality has been designed to give Participants the ability to set their repo transactions to unwind automatically on the unwind date.

Participants are able to set their preference for the auto unwind functionality as follows:

None

By selecting 'None' you are opting out of the auto unwind functionality and will be required to unwind repo transactions manually via the GUI or via a SWIFT message.

Un-Deferred

2nd leg Repo transactions will automatically unwind at 9:15 on the unwind date.

Deferred

The system will unwind the 2nd leg repo transactions in a differed state to give Participants control to un-defer at any time throughout the day via the GUI or via SWIFT.

To update the Auto Unwind preference:

1. Select Sub Participants > Sub Participants Users Sub Accounts > Explore

This displays the Sub Participant Explorer screen.

- 2. Select Sub Participant from the View pull-down menu.
- 3. Specify the search criteria and click Search.

The participant details are displayed

4. Select the Sub Participant, right-click and select properties.

This displays the Sub Participant screen with the properties for the selected sub participant.

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Sub Participant: A	(512)			0				_ 🗆 🗵
	ACH020 •							
General		Maturity cash records:		Sate:	Active			
Sub participant:	AC\$121			Suspended:	No			
Parent sub participant:	ACSL			Classification				
Sub-participant type:	Borrower	Contact Information		Sub participant	Branch	*		
	Cash Provider	Sub participant name:	Austraclear Services Limited Investm	Tier classification:		*		
	Clearinghouse Or COP		Plantabear Services Linking Investor	STP capability:	None	*		
	Collateral Sub Participant	-	AUSTRALIA	Membership charge:	No			
External template ref.:		Country: Postal code:	2000	U.S. Sub participant:	E	_		
	-		SIDNEY	AutoUnwind:	None			
Investor type:	Company	Province or state:	NSW	Chargeable Fee Ru	None UnDeferred			
ACN/ARBN:		Address 1:	20 Bridge Street	Settlement instruction/				
ABN:		Address 2:	Sydney 2000 NSW	Holding related:				
Cleaning bank BIC:	-		Austraclear	Report related:	Г			
		Contact person:		SWIFT related:	Г			
 Default 		Phone number:	02 0290 0474	HTH Lite related:				
) ef ault sub account:	ISSUERACCOUNT	Fax number:	02 9256 0456	Sub account related:				(
Default cash records:		E-mail:	pa@asx.com.au	User related:				
		TPN:	•••••	Proxy related:				
		Sate		Printy related.				
Note:								
noce:								
I								
							OK	Cancel
				-0				
E Classi	fication							
	ncauon							
Sub partic	ipant	Full Particip	ant	•				
Tier classi	fication:			•				
STP capab	pility:	None		•				
Membersh	nip charge:	No		•				

8.2.21 Entering RBA Repo Trades

U.S. Sub participant:

AutoUnwind:

The ASX Austraclear System RBA Repo facility enables cash providers to nominate eligible securities for Repo to the RBA for improved intraday liquidity management. Both the first and second transaction legs of an RBA Repo can be recorded and settled on the system.

•

RBA Repos are a one sided function and do not require system interaction by the RBA. The counterparty to transactions is RBAA25 for FIS.

The system also allows participants to reverse the second leg of repos.

None

The RBA sets rules for the trading of RBA Repos. These rules allow the RBA to:

- Maintain Margin Ratio Rates used in the calculation of payment amounts
- Add securities acceptable for RBA Repos
- Remove securities acceptable for RBA Repos.

8.2.22 Creating RBA Repo Trades

An RBA Repo cannot be entered for an amount greater than the volume held by the participant.

RBA Repos do not need to be confirmed by the RBA, but will be submitted for settlement automatically.

The Reference Price for each eligible security is pre-determined by the RBA and the consideration for both legs is calculated automatically.

If the first leg of an RBA Repo is deleted prior to authorisation (if applicable) then the second leg is automatically deleted.

To create a RBA Repo trade:

1. Select Holdings>View Holdings.

This displays the *Holdings* screen.

- 2. Enter the search criteria and click **Search**.
- 3. Select the required transaction.
- 4. Right-click and select Create RBA Repo Based on Holding.

This opens the Create RBA Repo screen.

5. Enter the required transaction details, and click **Calculate**.

For field descriptions, see Appendix 16 – RBA Repos Field Descriptions.

🕍 Create RBA Repo		
Acting for (F9): ACHO20	•	
Payment Instruction		
Currency:	AUD	- 1
Cash record:		- 1
Security Instructions		- 1
Series:	TB0122	- 1
Issuer:	COMM	
Full name issuer:	ISSUER ONLY COMMONWEALTH	
Volume:		
Sub account:	HOUSE	
Calculated payment amount:	Calculate	
Public Settlement Details		- 1
Sub participant:	ACHO20	
Public comment:		
Internal Settlement Details		
Override sub account priority:	-	
Override cash record priority:	-	- 1
Sub participant ref.:		- 1
Internal comment:		
 Current Repo Rule 		- 1
Current reference price:		- 1
Current margin ratio (%):		- 1
Current penalty interest rate (%)):	
	OK Cance	*

6. Click OK.

8.2.23 Uploading H2HL Files

H2HL is a common gateway GUI Application.

Once users are logged on to H2HL it provides users with access to the following functionality:

- Uploading H2HLink files
- Searching and printing files.

8.2.24 Logging On to H2HL

To logon or exit H2HLink:

1. Select **Programs>OM Common Gateway>SWGUI.exe** from the Windows menu.

This displays the login screen.

2. Enter the new ASX Austraclear System username and password in the corresponding fields.

aOMX Common Gateway - Ver 6.3.0.0 🔉	<
POWERED BY NASDAQ OMX	
Username:	
Password:	
Certificate: (No Certificate)	
Authentication	
Passcode:	
Proxy Server	
Username:	
Password:	
Domain:	
Log On Cancel	
eady	

3. Select the required ASX Austraclear System Client Side Digital Certificate (CSDC) from the *Certificate* pull-down menu, and click **Login**.

Once user details are validated by the system, the appropriate menu items are activated on the main menu bar. To exit from the system, select **File>Close**.

G	OMX Common Gateway [acho2095] - Ver 1.31.1671.0	- 🗆 🗙
File	Gateway Messages	
CGwy I	nstance: asx.austraclear.com.au	1.

8.2.25 Uploading H2HL Files

A user can select the required H2HL file to be uploaded via the Common Gateway for processing. The uploaded message can be viewed via Message Explorer.

To upload H2HL files:

- 1. Select File>Upload Host-to-Host File.
- 2. Select the file to be uploaded.

H2HL files are generally located in the H2HL folder and have a DAT extension.

Click Open.

This uploads the file where its progress can be viewed in the Transferring Host-to-Host File dialogue box.

4. Click Finish.

Click **Finish** when the file creation is complete.

🍓 Transferring Host-to-Host file	×
File creation completed.	
Close window on completion.	Finish
Completed	

8.2.26 Viewing Messages

This function is used to view Incoming and Outgoing messages from the H2HL Common Gateway system. The message explorer is the main screen for searching, viewing and printing H2HL messages. Users can query on H2HL messages to display both log information and raw message data.

To view messages:

5. Select Gateway Messages>Explore Messages.

This displays the Explore Messages screen.

- 6. Specify search criteria and click **Search**.
- 7. Select the required message.

One the required message has been selected, the raw message is displayed in the Raw Message frame.

To print the raw message, right-click in the *Raw Message* frame and select **Print>OK**.

Explore Messages										
C Search	Id	Flow	Type	State	Received	Sender	Reference	Accept/Reject Code	Sequence	Sessio
	2729	In	202	Processed	8/07/2004 4:12:39	WPAC20	RB1283_PAY_eve10	2080 - DuplicateReferenceE	0	0
Message Type:	2730	In	202	Processed	8/07/2004 4:38:21	WPAC20	HTHL WPAC Cash		0	0
	2731	In	300	Processed	8/07/2004 4:38:28	WPAC20	HTHL WPAC FX	2390 · InvalidFxSettleDateE	0	0
	2732	In	512	Processed	8/07/2004 4.38:35	WPAC20	HTHL WPAC FIS	2030 · InvalidTraderE	0	0
Source:										
HTHL										
Date:										
08- Jul -2004 💌										
State:										
-	•									
Message Flow:		lessage								
Input 💌	100WF	CC215	12 ACLR	20:20:HTHL	WPAC	D+AUD40176	201 01:227:VID4 00	00PCT98,276:35A:FMT52		CD. TC
Participant:	IN AL	00000	LTZ3:	83R:PRIN:8	7C:NABL34	5.X0545150	501,01.551.1004,05	ourcise, 276.550. PMI52	50000,00.5	50.15
WPAC20										
WPAL20										
Reference:										
Search Close										
- 20arcii - 2006										
									4	/4

8.3 Deferred Settlement

8.3.1 Creating a Trade with Deferred Settlement

Participants may enter sell trades with a deferred status on entry of the trade or any time before settlement day.

- 1. To create a trade with a deferred status, in the Austraclear trade entry screen:
- Select 'Yes' to 'Defer Settlement'
- Select 'No' to allow the trade to proceed to settlement once matched.

Counterpart: A Series: 1 ISIN: 4	0 • • • • • • • • • • • • • • • • • • •	Information:		
Sub Participant: Sub Participant: Sub Participant: Series: 1 Series: 1 ISIN: 4	ASKC20 TB0126			
Description: Issuer: (Side: (Defer Settlement: (Trade Date: (Settlement Date: (Face Value: (Vield: (Payment Settle: Sell Settle Instruction:	ALC: Decoded Reset 4:5000 TEEASURY BOND IS-APRIL-2020 4:5% - UPLIFT PROHIBITED EXCEPT BY ISSUER COMM C Buy C Sell C Yes C No F 11/02/2020 ▼ F: 11/02/2020 ▼ F: 11/02/2020 ▼ 1:0000 C Yes C No ALC	Consideration: PPH: Use SSI: Link No: Cash Recount: Override Sub Acct Priority: Cash Record: Override Cash Rec. Priority: Sub participant Ref:	1,019,817.74	
				OK Cancel

2. Click OK

Once all the required information has been entered in the other fields, click OK

New attribute 'Defer Settlement' is added to search trades in a defer state.

2		1	100	iC20					1	lie, infontance	 Is saloetana 		Search
is Number:	Altorised T		Currency	Dofer Settle		Ind Leg Trades	Open Cor			From:	10:	E	
Trade N		Counterpart	Defer Settl		SIN	Series	Sub Account		Face Value	Consideration	Created By		Trade Substat
	12 ASXC20 13 ASXC20			ALGTB0000135 ALGTB0000143		780136 780137	HOUSE	Failed Failed	100,000.00	110,000.00 CSD- 110,000.00 CSD-			

8.3.2 Remove Deferred Settlement from a Trade

The deferred settlement can only be removed by the Seller in a 'matched' or 'unmatched' status. To remove deferred settlement from a trade:

- 1. Select Trades>View Trades
- 2. If it's matched, the seller right clicks on the 'undefer trade'. If unmatched, just modify the trade and set defer to no.
- 3. If the authorisation policy for undefer is enabled, a second person is required to authorise the undefer request. This will change a matched trade to paired to be authorised.



8.3.3 Deferred Settlement entry via SWIFT

Functionality to defer and undefer Transactions is available to Participants using the SWIFT My Standards protocols.

8.4 Linked Settlement

Linked settlement functionality is available to Participants on an optional basis. Participants can group eligible transactions in a Linked Settlement Group (LSG) for simultaneous settlement by transfer of the net amount of cash and securities required to settle all transactions in that Linked Settlement Group.

Linked settlement functionality will require the same two Participants to be a party to all Transactions in the Linked Settlement Group. Both Participants will be required to agree to the Linked Settlement Group for it to proceed to simultaneous settlement.

Linked Settlement functionality will not terminate the Transactions in a Linked Settlement Group and create a new Transaction. Transactions in a Linked Settlement Group will be retained in the Austraclear System at all times and each Transaction will be settled simultaneously.

8.4.1 Eligible Transactions

A Transaction will be eligible for linked settlement if it is an eligible Transaction type and satisfies each of the linked settlement eligibility criteria.

8.4.1.1 Transaction Types

Eligible Transaction types are as follows:

- Non-Paper Security Transactions ('Fixed Income Securities (FIS)')
- Dematerialised Security Transactions ('Discounted Securities (DSS)')
- Euroentitlement Transactions
- Market Repos

The Transaction may be 'securities versus cash' or 'free of payment security transfer'. It is not possible to include a cash only transaction in a Linked Settlement Group.

Any combination of eligible Transaction types may be included in a Linked Settlement Group Request.

8.4.1.2 Eligibility Criteria

Linked settlement eligibility criteria are as follows:

- Matched Status All Transactions are in 'matched' status
- Participant All Transactions have the same Participant code
- Sub Account All Transactions have the same sub-account code
- Counterparty All Transactions have the same counterparty
- Series All Transactions have the same security (ISIN)

• Cash Record - All Transactions have the same cash account (unless free of payment) and the net amount of Cash required for simultaneous settlement of the Cash Elements of all Value Transactions in the nominated linked settlement group is greater than zero Australian dollars (AUD 0.00)

- Currency All Transactions are in Australian currency
- Settlement Date All Transactions have the same Settlement Date, which must be the current Settlement Date.

The current Settlement Date matching criteria means that Participants can only create a Linked Settlement Group Request on Settlement Date. It is not possible to include a Transaction in a Linked Settlement Group prior to its Settlement Date.

8.4.2 Creating a Linked Settlement Group

To create a Linked Settlement Group Request, one Participant ("Initiating Participant") who is a party to the group of eligible Transactions creates a Linked Settlement Group Request by selecting eligible Transactions in the Austraclear GUI.

Austraclear will calculate the net amount of securities and cash required to settle all Transactions in the Linked Settlement Group Request and provide these amounts to the Initiating Participant for confirmation.

If Austraclear receives confirmation of the net amounts from the Initiating Participant, it will create a Linked Settlement Group Request with an 'unmatched' status and send it to the counterparty to the group of eligible Transactions ("Recipient Participant"). The Linked Settlement Group Request will include the net amount of securities and cash required to settle all Transactions in the Linked Settlement Group. In the event the net amount of cash required to settle all Transactions in the Linked Settlement Group is:

- \$0, then Austraclear will reject the Initiating Participant's Link Settlement Group Request.
 - Greater than \$0, then Austraclear will send it to the counterparty to the group of eligible Transactions

("Recipient Participant").

The Recipient Participant can respond to the Linked Settlement Request by selecting 'confirm' or 'reject' in the Austraclear Transaction screen.

If Austraclear receives a 'confirm' response from the Recipient Participant, the Linked Settlement Group is updated to 'matched'.

If Austraclear receives a 'reject' response from the Recipient Participant, the Linked Settlement Group Request is updated to 'rejected' and each Transaction in the Linked Settlement Group Request will revert to its transaction status immediately prior to creation of the Linked Settlement Group Request (i.e. 'deferred' or 'matched' pending settlement).

If Austraclear does not receive a response from the Recipient Participant by end-of-day on the Settlement Date, the Linked Settlement Group Request will be updated to 'fail' and all Transactions in the Linked Settlement Group will fail settlement on that Settlement Date.

Austraclear will retain the entries for each Transaction in a Linked Settlement Group at all times. During the period between Austraclear creating the Linked Settlement Group Request and receiving the Recipient Participant's response, the Transaction status will show as 'Link Pending' for the Initiating Participant and 'Link Requested' for the Recipient Participant. If the Linked Settlement Group is matched, the Transaction status will show as 'Link Confirmed' for both Participants.

To view eligible Trades for a Linked Settlement Group Request:

1. Select Trades > View Trades

Described

- 2. Select Trade type > Tick Linkable Trades > Hit Search
- 3. Right click > select Link Trades option from the menu.

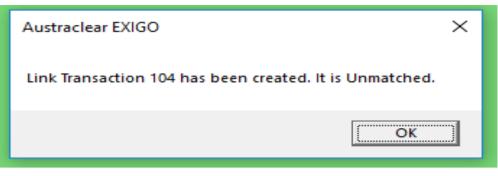
A Linked Settlement Group Request will be created in an "Unmatched" state. The Link Settlement Group Request will display the volume and cash for a new simultaneous settlement instruction.

e:	Series:	ISIN:			Counterpart:	Trade Type:		Sub participan	t Ref: S	iide:	Settlement	From: Settlem	ent To:						
	Y		ASXC	:20		FIS Repo Fi	rst Leg, FIS Tr	•		•	E 12/02/2	020 🝸 🖂 12/0	2/2020 💌	 Linkable Trades 					
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	22020	ETC Trada		Matched			Yes		ASXC20	SFEC20		TB0124		AU0000XCLWM5	50,000,000.00	1.0000	53,335,000.00	12/02/2020	
	Properties		irst Leg	Matched			Yes		ASXC20	SFEC20	Buy	TB0124	AUD	AU0000XCLWM5	20,000,000.00	1.0000	21,334,000.00	12/02/2020	1
	Authorise Trade																		
	Bulk Authorise Trade																		
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	Confirm/Reject Trade																		
	Print Confirmation Letter																		
	Reneg Trade																		
	Show Counterpart Trade.																		
	Split Trade																		
	Jnwind Trade																		
	Bulk Unwind Trade																		
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	View Second Legs																		
	view Settlement Instructi	on																	
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- I	Link Trades																		
١	View Linked Trades																		
1	view Linked Transaction																		
5	Select All																		
	Сору																		

This displays a confirmation to create a Link Settlement Group Request showing final Face Value of securities and Consideration of cash. Click OK



The following notification will appear with Link No. Click OK



The original Trades will be updated with 2 new sub states, Link Pending and Link Requested

Note: Counterparty would only see Trade Substate as Link Requested or Link Pending based on the Linked Settlement Group

4. Select the required Sub participant.eg ASXC20

This displays the Trade Substate - Link Pending



SFEC20: This displays the Trade Substate - Link Requested

0	View Trad	es - ACHOZ	026																			_
Sta	te:	Series:		ISIN		ub Partidipant: C EC20	ounterpart:	Trade Type: FISRepo Fi		Sub participan	t Ref: S		Settlemer 7 12/02/	nt From: Settlemen 2020 • 12/02/		🗌 🗖 Linkable Trade	3					
	Trade No Other Tr Versio Link N Trade Type Trade State Trade Substate Defer Sett Sett										Sub Partic	i Counterp	Side	Series	Curren	c ISIN	Face Value	Yield	Consideration/Amt	Trade Date	Settlement Date	200
	247303	39	3		FIS Trade	Matched	Link Reque	sted	Yes		SFEC20	ASXC20	Buy	TB0124	AUD	AU0000XCLWM5	50,000,000.00	1.0000	53,335,000.00	12/02/2020	12/02/2020	1
	247305	59 2473062	- 4		FISRepo First Leg	Matched	Link Reque	sted	Yes		SFEC20	ASXC20	Sell	TB0124	AUD	AU0000XCLWM5	20,000,000.00	1.0000	21,334,000.00	12/02/2020	12/02/2020	<u>ا</u>
4																						
6 Items Found																						

5. SelectTrades > View Link Settlement Groups > Hit Search

	View Trades - ACH020ND	• • • • • • • • • • • • • • • • • • •		_ [] ×
		ISIN: Sub Participant:	Counterpart: Trade Type: Sub participant Ref: Side: Settlement From: Settlement To:	
With Materiander (MATRICEN) TIST STATUT Image: Statuting	<u>×</u>		PIS Repo First Leg, PIS Tr.	Search
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The counterparty must then view the Link Settlement Group Request in the new "View Linked Settlement Groups" screen and either confirm or reject the request.

6. Right click on the trade > **Confirm/Reject Link**

⊘ vi	ew Linked Settl	lement Grou	ips - ACHO2000	i															_ 🗆 🗵
Sta	ste:	Series:	ISIN:	Sub I	Participant:	Counterpart:	Link No:		ed Date From:	Linked Date 1									
	•								24/06/2020 💌	r 24/06/20	20 💌								Search
	Link No.	Version	ISIN	Currency	Sub Participa	Counterpart	Series	State	Settlement In	Cash Record	Source	Sub Account	Created By	Created From	Created Time	Face Value	Consideration	Linked Date	
	181		AUSTBODOD	AUD	ASXC20		TB0136	Completed	33877470	008-000-RT	Austraclear	HOUSE	ACHO2006	10.2.12.3	24/06/2020	500,000.00			
	182		AU3TB0000	AUD	SFEC20	ASXC20	TB0136	Completed		008-000-RT	Austraclear	HOUSE	ACHO2006	10.2.12.3	24/06/2020	-500,000.00			
	183		AUSTENNO	AUD	SFEC20	ASXC20	TB0137	Unmatched		008-000-RT	Austraclear	HOUSE	ACHO2006	10.2.12.3	24/06/2020	-100,000.00	111,000.00 2	4/06/2020	
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📓 Confirm Reject	Linked Transa	ction 104													-		×
🖷 Acting for (F9):	ACHO20	-															
Public Link Transa	ction Details				Face Value:	30,0	00,000			Cash Recor	d:	008-000-RTG5					
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2473059		SFEC20		Sell	FIS Repo First Leg		AU0000XCLWM5		20,000,000.00	21,334,000.00		008-000-RTGS		Matched	Link Requested		
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Click OK

Once the counterparty confirms, the system will create the matching side of the Link Settlement Group Request and set both Link Settlement Group Requests to state 'Completed'.

A recurring task will then periodically process the confirmed Linked Settlement Group.

8.4.3 View Linked Settlement Groups

View Linked Settlement Groups allows the recipient Participant to review the details of the linked trades including the net amount of cash and securities required to settle all transactions in that Linked Settlement Group.

The Recipient Participant can then respond to the Linked Settlement Request by selecting 'confirm' or 'reject' in the 'View Linked Settlement Group screen.

State has been updated to completed in View Linked Settlement Groups



8.4.4 Cancellation and Delinking of Linked Settlement Group

Linked Settlement Groups can be cancelled by the Initiating Participant in an unmatched state. Once the Link Settlement Request is in a paired or matched state, either the initiating or Recipient Participant can cancel at any time prior to the settlement instructions being created.

Once the Linked Settlement Group request is in a state of completed, you will need to delink to prevent the linked settlement group from progressing to settlement. A delink will only be possible if securities and/or cash are not yet available and the settlement instruction is in a matched state. Once the settlement instruction is at payment pending (gone to RTGS) it is no longer possible to delink.

To cancel a Linked Settlement Group Request

- 1. Select Trades > View Linked Settlement Groups
 - Right click and select > Cancel Link

\mathbf{i}	View	Linked Sett	lement Group	os - ACHO2006	;														
	State		Series:	ISIN:	Sub F	Participant:	Counterpart:	Link No:		ed Date From: 6/07/2020 💌	Linked Date 1		ency:						Search
		Link No.	Version	ISIN	Currency	Sub Particip		Series	State		Cash Record		Sub Account		Created From			Consideration	
•	F	Properties Cancel Link Delink View Linked Se	ettlement Group	History	AUD	SFEC20	A5XC20	TB0136	Unmatched		008-000-RT	Austraclear	HOUSE	ACHO2006	10.2.12.3	16/07/2020	-500,000.00	666,250.00	16/07/2020
1 R		View Settleme Confirm/Rejec	nt Instruction t Link	·															
	l	Select All Copy Sort By Column Settin Export to File. Print																	

Select confirm

🕼 Ca	ncel Link 221													_ 🗆 ×
		ACHO20												
🖃 Pi	ublic Linked Set	tlement Gro	oup Details			Source:		Austraclear						
Link N	umber:	221				Created Time	:	16/07/2020 3	:00:15 PM					
Link St	:ate:	Unma	tched			🖃 Internal L	inked Settlemer	t Group Details						
Sub Pa	articipant:	SFEC2	20			Sub account:		HOUSE						
Count	erpart:	ASXC:	20			Cash Record:		008-000-RTG	s					
Series	;	TB013	36			Created By:		ACHO2006						
ISIN:		AUST	B0000135			Created Fron	1	10.2.12.3						
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	Trade No 🔺	Version	Sub Participant	Counterpart	Side	Trade Type	Settlement D	ISIN	Series	Face Value	Consideration	Pay Settle	Sub Account	Cash Record
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	7078308	3	SFEC20	ASXC20	Buy	FIS Trade	16/07/2020	AU3TB0000	TB0136	500,000.00	666,250.00	(es	HOUSE	008-000-RT
•														Þ
													Confirm	Cancel
														·

Once the Linked Settlement Group enters the Austraclear settlement queue, it can be de-linked at any time before Austraclear sends the relevant interbank settlement request to RITS (i.e. before the LSG Settlement Instruction reaches 'Payment Pending' status).

To delink linked trades

- 2. Select Trades > View Linked Settlement Groups
 - Right click and select > Delink

🔷 Vie	w Linked Settl	ement Grou	ıps - ACHO2O	06															- 0
Sta	te:	Series:	ISIN:	Sub SFE		Counterpart:	Link No:		ked Date From:	Linked Date To									
-		1		pre	20				1/07/2020	10/12020		-							Search
	Link No.	Version	ISIN	Currency	Sub Particip	a Counterpart	Series	State		Cash Record	Source	Sub Account					Consideration		
•	205		B AUSTBOODO	AUD	SFEC20	ASXC20	TB0136	Completed	33889716	008-000-RT	Austraclear	HOUSE	ACH02006	10.2.12.3	1/07/2020 9	-4,750,000.00	6,329,375.00	1/07/2020	
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	Print																		

Where a Linked Settlement Group is cancelled or de-linked, each Transaction in the Linked Settlement Group will revert to its transaction status immediately prior to the Linked Settlement Group Request being created (i.e. 'deferred' or 'matched' pending settlement).

It is not possible to amend a Linked Settlement Group once it has been created. If the Initiating Participant or Recipient Participant wish to make any change to the Linked Settlement Group (e.g. to add or remove a Transaction), the Linked Settlement Group must be cancelled, rejected or de-linked and new Linked Settlement Group created.

8.4.5 Creating Linked Settlement Group Settlement Instruction

Where the Linked Settlement Group is matched (and the individual Transactions in the Linked Settlement Group have a transaction status of 'Link Confirmed'), Austraclear will create a LSG Settlement Instruction as a delivery versus payment for the net amount of securities and cash required to settle all Transactions in the Linked Settlement Group.

To view the Linked Settlement Group Settlement Instructions

Select Trades > View linked Settlement Groups

• The Link Group Settlement Instructions display the net amount of cash and securities settled.

Security Instruction +/- Series Volume Price Sub Account Priority - TB0136 4,750,000.00 HOUSE Active	🌠 Se	ttlement Instruct	ion: 33889716	i					
Sett. instruction no.: 33899716 Creation time: 1/07/2020 9:25:17 AM Sub participant: SFEC20 Created at workstation: 192.168.187.112 Counterpart: ASXC20 Authorised by: Image: Counterpart: Settlement date: 1/07/2020 Authorised by: Image: Counterpart: Settlement date: 1/07/2020 Authorised at workstation: Image: Counterpart: Settlement type: Settled Authorised at workstation: Image: Counterpart: Transaction type: Security Trade Settl. obligation no.: 32875702 Message type: Delivery Versus Payment Settl. date actual: 1/07/2020 Counterpart ref.: Settl. obligation no.: 32875702 Settlement method: RTGS Settl. time actual: 1/07/2020 Counterpart ref.: Settl. obl. group state: Settled Source: Clearing Securities locked in: Yes Source: Clearing Securities confirmed: Yes Source: 0 Securities confirmed: Yes Source: 0 Securities confirmed: Yes Source:	₽								
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Sace Society of A. ASXC20 Authorised by: Counterpart: ASXC20 Authorised by: Settlement date: 1/07/2020 Authorised at workstation: Operation type: Settled Authorised at workstation: Operation type: Settled Settlement Obligation Transaction type: Delivery Versus Payment Settl. obligation no.: 32875702 Message type: Delivery Versus Payment Settl. obligation no.: 32875702 Counterpart ref.: Counterpart ref.: Settl. obligation no.: 32875702 Settlement method: RTGS Settl. date actual: 1/07/2020 Counterpart ref.: Settl. date actual: 9/25 AM Trade date: 1/07/2020 Securities locked in: Yes Source: Clearing Securities confirmed: Yes Source: Clearing Securities confirmed: Yes Source: Qo2 Payment confirmed: Yes Source: Image: Securities confirmed: Yes Source: Qo2 Price Sub Account Priority +/- Series Youme	Settl.	instruction no.:	33889716		Creation	n time:	1/07/2	020 9:25:17 AM	
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Message type: Delivery Versus Payment Settl. date actual: 1/07/2020 Counterpart ref.:	Opera	ition type:	Normal		🖃 Sett	lement Obligati	on		
Counterpart ref.: Image: a manipulation of a m	Trans	action type:	Security Tra	ade	Settl. of	oligation no.:	32875	702	
Settlement method: RTGS Settl. time actual: 9:25 AM Trade date: 1/07/2020 Securities locked in: Yes Public comment: Cash locked in: Cash locked in: Source: Clearing Securities confirmed: Yes Source: Clearing Securities confirmed: Yes Source: 202 Payment confirmed: Yes Source: 0 Matching settl. no.: 33889715 Cauetor of Securities confirmed: Yes Source: Securities confirmed: Yes Source: Ves Source: Securities confirmed: Yes Source: Ves Source: Securities confirmed: Yes Source: Securities c	Messa	age type:	Delivery Ve	rsus Payment	Settl. da	ate actual:	1/07/2	020	
Trade date: 1/07/2020 Public comment:: Source: Clearing Source ref.: 202 Payment confirmed: Yes Accept/Reject: 0 Matching settl. no.: 33889715 Contract concept: 9 +/- Series Volume Price Sub Account Priority +/- Amount Currency Cash Record Priority	Count	erpart ref.:			Settl. of	ol. group state:	Settled	1	
Public comment: Image: Cash locked in: Source: Clearing Source ref.: 202 Payment confirmed: Yes Accept/Reject: 0 Matching setti. no.: 33889715 For every construction Accept/Reject: 0 Accept/Reject: 0 For every construction +/- Series Yolume Price Sub Account Priority Active +/- Amount Currency Cash Record	Settle	ment method:	RTGS		Settl. tir	me actual:	9:25 A	м	
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Once the LSG Settlement Instruction settles for the Linked Settlement Group, all trades instructed will be set to 'Settled' and Settlement Confirmation messages sent.

¢	View T	rades -	ACH02	026																				
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	247	3040		5	10-	4 FIS Trade	Settle	đ			Yes	Settled	ASXC20	SFEC20	Sell	TB0124	AUD	AU0000XCLWM5	50,000,000.00	1.0000	53,335,000.00	12/02/2020	12/02/2020	ð
	247	3060 2	473061	6	10	4 FISRepo First Le	g Settle	5			Yes	Settled	ASXC20	SFEC20	Buy	TB0124	AUD	AU0000XCLWM5	20,000,000.00	1.0000	21,334,000.00	12/02/2020	12/02/2020	ð 👘
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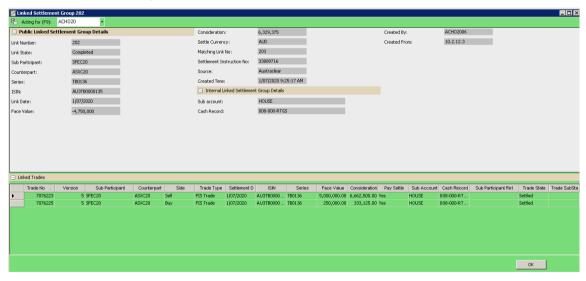
From the View Trades screen you can view the 'Linked Trades' and 'View Linked Settlement Group'

٥v	iew Trades - A	CH02006													
Sta	ste: Sei	ries:	ISIN:	Sub SFE	Participant: Cou C20 AS	interpart: (C20	Trade Type:	T	Sub partici	pant Ref:	Side: Seti	lement From: 1/07/2020 💌	Settlement To:	🖬 🗖 tinkal ⊘ [Search
Ĺ	Trade No	Sub Participa			Trade Substate		ISIN		Series		Trade State	Face Value	Consideration	Created B	
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	Confirm/Rejec														
	Print Confirma Reneg Trade Show Counter														
	Split Trade Unwind Trade.				1										
 ▲ 2 It 	Bulk Unwind Tr View First Leg.				_										► //:
	View Reneg/U View Second L														
	View Trade His Undefer Trade	tory													
	Link Trades View Linked Tr														
	View Linked Se Select All	ttlement Group	·												
	Copy Sort By														
	Column Setting Export to File. Print														

View linked Trades

	inked Trades I	or Trade 7076	223 - ACHO20	106								
St	ate: Se	ries:	ISIN:	Su Su	ub Participant: Counter		Sub partic	ipant Ref: !	5ide: Set	tlement From:	Settlement To:	Search
	Trade No	Sub Participa	Counterpart	Defer Sett	I Trade Substate	ISIN	Series	Sub Account	Trade State	Face Value	Consideration	Created By
•	707622	B SFEC20	ASXC20	No		AU3TB0000135	TB0136	HOUSE	Settled	5,000,000.00	6,662,500.00 ACHO2006	
	707622	5 SFEC20	ASXC20	No		AU3TB0000135	TB0136	HOUSE	Settled	250,000.00	333,125.00 ACHO2006	
┛												•
Read	ły											h

View Linked Settlement Group



Any Transaction that had not been deferred immediately prior to being included in the Linked Settlement Group will be mapped to a Transaction Settlement Instruction. Austraclear will cancel this Settlement Instruction at the time the Initiating Party creates the Linked Settlement Group to prevent the Transaction proceeding to settlement. In the event that the Linked Settlement Group Request is rejected by the Recipient Participant, a new Transaction Settlement Instruction will be created for the Transaction.

Any Transaction that had been deferred immediately prior to being included in the Linked Settlement Group will not be mapped to a Transaction Settlement Instruction as it is not created until the Transaction is un-deferred by the Participant. Cancellation of the Transaction Settlement Instruction is therefore not required.

8.4.6 Processing Linked Settlement Group Settlement Instruction

Austraclear will process a LSG Settlement Instruction in the same manner it would process a Transaction Settlement

Instruction, which can be summarised as follows:

- Austraclear will perform securities and cash checks and holds (where relevant) for the amounts stated in the LSG Settlement Instruction (i.e. the net amount of securities and cash required to settle all Transactions in the Linked Settlement Group).
- If the securities and cash checks and holds are unsuccessful, Austraclear will periodically retry until end-ofday. Where the checks remain unsuccessful at end-of-day, the LSG Settlement Instruction will fail and all Transactions in the Linked Settlement Group will fail settlement on that Settlement Date.
- If the securities and cash checks and holds are successful, Austraclear will send an interbank settlement request for the net cash amount stated in the LSG Settlement Instruction to RITS for settlement testing. If the payment is successfully settled across the Participant's ESAs held in RITS, RITS will notify Austraclear.
- If Austraclear receives a notice from RITS that the payment is successful, the Cash Elements of all Transactions in the Linked Settlement Group will be simultaneously settled and Austraclear will amend the Cash Records of the Participants accordingly.
- Austraclear will then simultaneously settle the Security Elements of all Transactions in the Linked Settlement Group by adjusting the Security Records of the Participants by the net amounts stated in the LSG Settlement Instruction.
- Austraclear will then simultaneously settle the Security Elements of all Transactions in the Linked Settlement Group by adjusting the Security Records of the Participants by the net amounts stated in the LSG Settlement Instruction. Where the net amount of securities stated in the LSG Settlement Instruction is zero (0), Austraclear will simultaneously settle the Security Elements of all Transactions in the Linked Settlement Group by recording an adjustment of zero (0) on the Security Records of the Participants.
- The transaction status of each Transaction in the Linked Settlement Group is then updated to 'settled'.
- Austraclear will then simultaneously settle the Security Elements of all Transactions in the Linked Settlement Group by adjusting the Security Records of the Participants by the net amounts stated in the LSG Settlement Instruction. Where the net amount of securities stated in the LSG Settlement Instruction is zero (0), Austraclear will simultaneously settle the Security Elements of all Transactions in the Linked Settlement Group by recording an adjustment of zero (0) on the Security Records of the Participants.

8.4.7 Linked Settlement Group Settlement Instruction Failure

If Austraclear is unable to successfully process a LSG Settlement Instruction relating to Transactions in a Linked Settlement Group by end-of-day on the Settlement Date, then all Transactions in the Linked Settlement Group will fail settlement on that Settlement Date.

9 Confirming or Rejecting a Trade

9.1 Conducting Foreign Exchange Trades

The ASX Austraclear System allows for electronic confirmation of spot and forward currency deals for both \$A and cross currency transactions.

A bank enters their side of a Foreign Exchange (FX) transaction and the corporate counterparty confirms the entry, effectively eliminating the need for a dual sided entry. Transactions confirmed using this method also generate a Confirmation Report to corporate participants which they can print and retain. This process eliminates the need for banks to send paper-based confirmations to their corporate counterparties and allows them to be certain that confirmations are being received by the counterparty.

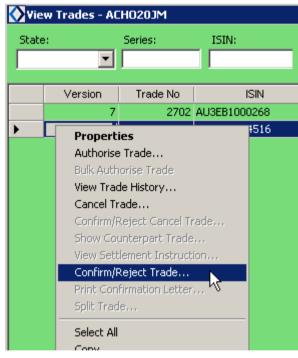
9.2 Confirming or Rejecting FX Trades

This confirmation/rejection function is for corporate participants. To confirm or reject an FX trade:

- 1. Select Trades>View Trades.
- 2. Specify search criteria and click **Search**.

To display the FX trades, select **FX Trade** from the *Trade Type* pull-down menu. This displays FX transactions for the participant.

- 3. Select the required transaction to be confirmed/rejected.
- 4. Right-click and select **Confirm/Reject Trade**.



5. Enter the required information in the fields.

The following fields are mandatory when **confirming** an FX transaction:

- Sub Participant
- Participant Reference (from confirmation).

The following fields are mandatory when rejecting an FX transaction:

- Information
- Sub Participant
- Participant Reference.

If a corporate counterparty rejects an FX transaction, the system requires a reason for the rejection to be entered. If the original instruction was via SWIFT, the bank counterparty is notified of the reject reason via a return SWIFT message. If there is no SWIFT message the bank is required to investigate in Austraclear.

FX transactions that have been rejected cannot be corrected by either counterparty. For field descriptions, see

Appendix 14 - FX Field Descriptions.

🖉 Confirm/Reject Trade						_ 🗆 ×
🖳 Acting for (F9): ACHO	D20 •					
Public Trade Details		Settle Currency:	AUD			-
Sub Participant:	CBAA20	Information:				_
Counterpart:	NABL30					
Series:	ANZB100215ECD01					
ISIN:	AU3EC1264516		1			
Maturity Date:	10/02/2015	Consideration:	19,713,745.61	Calculate		
	Reset	Use SSI:				
Drawer:		Internal Trade Details				
		Sub account:	HOUSE		1	
		Override Sub Acct Priority:	•			
Description:		Cash Record:	062-040-743-1195245		1	
		Override Cash Rec. Priority:	•			
		Sub participant Ref:]	
Issuer:	ANZB					
Side:	🕼 Buy 🌔 Sell					
Trade Date:	27/10/2014					
Settlement Date:	27/10/2014					
Face Value:	20,000,000.00					
· Yield:	5.0000					
Payment Settle:						
Sell Settle Instruction:						
				Confirm	Reject	Cancel

6. Click Confirm or Reject to confirm or reject the trade.

9.3 Viewing and Printing an FX Confirmation Letter

On entry of an FX transaction by a bank, the system creates an FX Confirmation Letter that the corporate counterparty can view and/or print.

As an FX Confirmation Letter is printed, a confirmation is sent to the bank counterparty providing them with acknowledgment that the FX transaction was actually delivered and handled by the counterparty.

The system records when FX Confirmation Letters were printed. If required, letters can be reprinted. To view and print an FX confirmation letter:

- 1. Select Trades>View Trades.
- 2. Specify the search criteria and click **Search**.

To display the FX trades, select **FX Trade** from the *Trade Type* pull-down menu. Once **Search** has been clicked, all FX transactions relevant to the user are displayed.

- 3. Select the required transaction.
- 4. Right-click and select Print Confirmation Letter>Print Confirmation Letter.

ate:	Series:	ISIN:	Sub Part	icipant: C	ounterpart:	Trade Type:		Currency:	s	ettlement From:	Settlement 1		
			ACSL21				1	-		12/02/2015	12/02/20	Sear	rch
	Trade No Version	ISIN	Sub Participa			Info		Cash Record	PPH	Sub Account		Sub Participa	
	43	1 AUD000000		ACHO20	AUD			012-055-83			AUD		A
	Properties		ACSL21	SFEC20		test trade 1							A(
	Authorise Trade												
	Bulk Authorise Trade												
	View Trade History												
	Cancel Trade												
	Confirm/Reject Cancel Tra												
	Show Counterpart Trade.												
	View Settlement Instructio												
	Confirm/Reject Trade												
	Print Confirmation Letter												
	Split Trade												
1	Select All												
	Сору												
1	Sort By												
	Column Settings												
	Export to File												
8	Print												



To print to the selected default printer, just click OK. The confirmation letter is printed.

		F FOREIGN EXCHANGE DE	
			-
Participant:	ACSL21 : Au	straclear Services Lim	nited Investment Account
Counterparty:	SFEC20 : AS	X Clear (Futures) Pty	Limited
Deal Ref		Deal Date 	Method Dealt DIRECT
Confirmation Ref	erence		
FOREIGN EXCHANGE	DEAL FOR VA	LUE DATE 12/02/2015	
ACSL21 SOLD		EXCHANGE RATE	SFEC20 PURCHASED
USD 80000		0.8	AUD 100000
SOLD AMOUNT PAYA			AMOUNT PAYABLE TO

9.4 Using Australian Clearing House/ASX Margin Facilities for Trading

The Australian Clearing House (ACH) and ASX Margin facilities allow participants to pay and receive ACH and ASX Margins respectively on the ASX Austraclear System as a same day transaction.

ASX Margin data is entered daily by ASX Clearing. Participants confirm their respective instructions to effect the settlement of the transfer.

If the participant has sufficient funds available, the system affects the transfer of funds with no further intervention required by either counterparty.

ACH Margins

In order to use the ASX Austraclear System for the settlement of ACH margin payments, ACH participants are required to make prior arrangements with both ACH and ASX Austraclear.

Participants need to complete application forms and notify bank account details for their HOUSE and CLIENT accounts to both ASX Clearing and ASX Austraclear by calling 1800 240 033. These bank accounts will be set up as the default Cash Records for both the HOUSE and CLIENT accounts in the system.

9.5 Viewing AUD Margin Cash Transfers

For clearing participants (i.e. those that have the facility to confirm their own payments) the system displays if the payment are their own (HOUSE) or for another participant (CLIENT).

To view ACH/ASX Margin Cash Transfers:

3. Select Trades>View Trades.

4. Enter either SFECASH or AUDCASH in the Series field, and click Search.

This displays AUD Margin Cash Transfers awaiting confirmation for both HOUSE and CLIENT accounts.

9.6 Confirming or Rejecting SFE/AUD Margin Cash Transfers

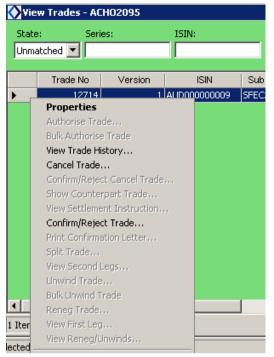
All debit/credits are generated from participants' nominated OCH/ASX accounts. The system prevents participants from overriding this field when confirming or rejecting SFE and AUD Margin Cash transfers.

AUD Margin Cash transfers are paired when high level details of the transaction match, but authorisation is pending on one or both sides of the transaction.

For AUD Margins, participants need to have their side of the daily cash transfers in the system ready for settlement at 10.30am.

To confirm or reject AUD Margin Cash transfers:

5. Select Trades>View Trades.



- 6. Enter either **SFECASH** or **AUDCASH** in the *Series* field, and click **Search**. All the AUD Margin Cash Transfers awaiting confirmation are displayed.
- 7. Select the required transaction to be confirmed.
- 8. Right-click and select Confirm/Reject Trade, and click Confirm, Reject or Cancel.

The Sub Participant field is used to specify the sub participant code through which settlement will occur.

🖉 Confirm/Reject Cash Tr	ansfer				_ 🗆 🗵
E Acting for (F9): ACHO	20 🝷				
Public Trade Details					
Sub Participant:	ACSL21				
Counterpart:	SFEC20				
Series:	AUD				
Pay Receive:	🕼 Pay 🛛 🖨 Receive				
Settlement Date:	21/04/2015				
Amount:	1,000,000.00				
🖃 Internal Trade Details					
Cash Record:	012-007-TESTJB007				
Override Cash Rec. Priority:	•				
External Code:	TEST CASH TRANSFER				
Sub participant Ref:]	
			-		
		Confirm		Reject	Cancel

10 Rectifying or Cancelling Trades

A trade can be rectified or cancelled for Cash, DSS, FIS, FX and Market Repos.

The system rules below describe the specific rules for the different types of transactions. To rectify or cancel a trade:

- 1. Select **Trades>View Trades**.
- 2. Enter the required search criteria and click **Search**. This displays all the users' trades.
- 3. Select the required transaction to be rectified or cancelled.
- Right-click and select **Properties** to rectify a trade, or **Cancel Trade** to cancel the trade. When rectifying the trade click **Recalculate**.

To cancel the trade, click **Confirm**.

Once the trade is confirmed, a dialogue box appears with the trade number that has been modified.

Austraclear EXIGO	×
Trade Number 66 has been modified. It is Cancelled	
OK.	

10.1 System Rules

All transactions in an Unmatched state may be cancelled and any field may be rectified.

10.1.1 Cash

The system rules for cash are:

- Transactions in a Paired state may be cancelled and the following fields may be rectified:
- Sub Participant
- Cash Record
- Information
- Participant Reference.
- Transactions in a Matched state may only be cancelled.
- A trade that is unmatched will remain unmatched until both sides of the trade agree on all the trade details.
- If transactions in a **Paired** state are rectified they must be confirmed/authorised by the counterparty.
- Cancellations of Matched or Paired transactions must be confirmed or authorised by the counterparty.
- If a transaction in a status of **Pending Cancellation** is not confirmed or rejected, then the transaction remains in a Pending status and will not proceed to settlement.
- To reject a transaction in a state of **Pending Cancellation**, right-click on the trade and select **Reject Pending Cancel Trade Report**. The trade state then reverts to **Matched**.

10.1.2 DSS/FIS

The system rules for DSS/FIS are:

- Transactions in a Paired state may be cancelled and the following fields may be rectified:
- Sub Participant
- Cash Record
- Information
- Participant Reference.

- Transactions in a Matched state may only be cancelled.
- A trade that is unmatched will remain unmatched until both sides of the trade agree on all the trade details.
- If transactions in a Paired state are rectified they must be confirmed/authorised by the counterparty.
- Cancellations of Matched or Paired transactions must be confirmed/authorised by the counterparty.
- If a transaction in a status of **Pending Cancellation** is not confirmed or rejected, then the transaction remains in a Pending status and will not proceed to settlement.

To reject a transaction in a state of **Pending Cancellation**, right-click on the trade and select **Reject Pending Cancel Trade Report**. The trade state then reverts to **Matched**.

10.1.3 FX

The system rules for FX are:

- Transactions in a **Paired** or **Matched** state may be cancelled and the following fields may be rectified:
- Sub Participant
- Method Dealt
- Information
- Participant Reference.
- If transactions in a Matched or Paired state are rectified they must be confirmed/authorised by the counterparty.
- A trade that is unmatched will remain unmatched until both sides of the trade agree on all the trade details.
- If a transaction in a status of **Pending Rectify** is not confirmed or rejected, then the transaction remains in a **Pending** status and will not proceed to settlement.
- Cancellations of **Matched** or **Paired** transactions must be confirmed/authorised by the counterparty. The counterparty must cancel their side of the trade in order to confirm the cancellation.
- If a transaction in a status of **Pending Cancel** is not confirmed or rejected, then the transaction remains in a **Pending** status and will not proceed to settlement.
- FX trades that are **Rejected** by a corporate counterparty cannot be rectified by the bank counterparty. The bank must enter a new trade to replace the **Rejected** trade.
- Corporate participants who opt to confirm FX trades entered by their bank counterparty cannot rectify or cancel FX trades. The ability to rectify or cancel a FX trade is restricted to the counterparty that entered the original trade.

10.1.4 Market Repos

The system rules for market Repos are:

- Transactions in a Paired state may be cancelled and the following fields may be rectified:
- Sub Participant
- Cash Record
- Information
- Participant Reference.
- Transactions in a Matched state may only be cancelled.
- A trade that is unmatched will remain unmatched until both sides of the trade agree on all the trade details.
- If transactions in a Paired state are rectified they must be confirmed/authorised by the counterparty.
- Cancellations of Matched or Paired transactions must be confirmed/authorised by the counterparty.
- If a transaction in a status of **Pending Cancellation** is not confirmed or rejected, then the transaction remains in a **Pending** status and will not proceed to settlement.
- To reject a transaction in a state of **Pending Cancellation**, right-click on the trade and select **Reject Pending Cancel Trade Report**. The trade state then reverts to **Matched**.

11 Authorising Trades

A trade can be authorised for Cash, DSS, FIS, FX, Market Repos, OCH Margins and ASX Margins. Authorisation state options are:

- Authorised the trade is authorised
- Needed the trade requires authorisation
- Not needed authorisation is not required.

A trade with Authorisation state equal to Needed must be authorised before it can be matched. The authorisation must be performed by a user other than the user who performed the transaction on the trade.

Trades are Paired when high level details of the transaction match but authorisation is pending on one or both sides of the transaction.

All trades are authorised in the same way, except RBA Repos.

Authorisation of a task or transaction is permission based and dependent on the authorisation of the Participant and the roles allocated to a user.

In the View Trades screen there are three fields for creating trades. This includes:

- Auth Time
- Auth By
- Auth From.

If a created trade does not require authorisation, the three fields are filled in and the *Auth By* field is populated with the details from the user who created the trade. The *Authorised* field displays Yes. This indicates that the trade does not require separate authorisation.

If a created trade does require authorisation then the three fields are populated and the authorisation field remains blank. When the trade is authorised by a different user, all of the three Auth fields are populated indicating who authorised it, where it was authorised (machine IP) and when I was authorised (date and time).



Note: If a trade required authorisation and a modification is performed on the trade, even though the modification user action does not require authorisation, then the trade still needs to be authorised. The original authorisation remains.

11.2 Authorising Trades for all Products Except RBA Repos

To authorise trades for all products except RBA Repos:

1. Select Trades>View Trades.

This displays the View Trades screen.

- 2. Enter the required search criteria, and click Search. This displays all the users' trades.
- 3. Select the required transaction.
- 4. Right-click and select Authorise Trade.

To authorise multiple transactions, right-click and select Bulk Authorise Trade Report.

) Vie	w Trades - ACHO203	IM				
State	: Series:	ISIN:	Sub Parti	cipant:	Count	terp
	•					
	ISIN	Info	Version	Trade	e No	S
	AU300ACCU010		1		3625	NA
>		Proper	ties		88	AC
	AU300ACCU010		se Trade		04	NA
	AU300ACCU010		thorise Trade	ht	14	NA
	AU3EC1264557		ade History	Ů	90	MA
	AU3EC1264557		Trade		89	HKE
	AU3EC1264557		/Reject Cancel 1	rada	92	HKE

5. Check the details and click **Authorise**.

🕍 Authorise Fixed Inco				-
Acting for (F9): A	CHO20 •			
Public Trade Details	5	Matching Trade No:		
Trade Number:	3628	Settlement Instruction No:		
Trade State:	Unmatched	Source:	Austraclear	
Trade SubState:		Settlement State:		
Sub Participant:	NABL30	Confirmed:	False	
Counterpart:	CBAA20	Authorised:	No	
Trade Type:	FIS Trade	Created Time:	20/11/2014 6:59 PM	
Series:	OMCG02	Use SSI:	🕼 Yes 🌔 No	
ISIN:	X50263576596	 Internal Trade Details 		
Maturity Date:	20/12/2014	Sub account:	HOUSE	
	Reset	Override Sub Acct Priority:		
Annual Interest:	0.0000	Cash Record:	083-001999907635	
Description:	FRN GLOBAL - X50263576596 20-DEC-2014 0%	Override Cash Rec. Priority:		
		Sub participant Ref:		
		Created By:	NABL3010	
Issuer:	OMCG	Created From:	10.2.12.3	
Side:	🕼 Buy 🧖 Sell	Authorised By:		
Trade Date:	20/11/2014	Authorised Time:		
Settlement Date:	19/12/2014	Authorised From:		
Face Value:	1,000,000.00			
Yield:	5.0000			
Payment Settle:				
Sell Settle Instruction:				
Settle Currency:	AUD			
Information:				

11.3 Authorising Trades for RBA Repos

To authorise trades for RBA Repos:

- 1. Select Trades>View RBA Repos. The RBA Repos screen is displayed.
- 2. Select **Unauthorised** from the *View* pull-down menu.
- 3. Click **Search**.

This displays all of the RBA Repos relevant to the user.

O RB/	A Repos - ACH	020	JM		
View:	Open	-	Sub par	rticipant/Counterpa	art:
	Open Unauthorised		ISIN	Reference Prid	Ve
	Historical	k			

- 4. Select the required transaction to be authorised.
- 5. Right-click and select **Authorise**.
- 6. Check the details and click **OK**.

12 Reversing an RBA Repo Trade

Both partial and full reversals are permitted on RBA Repo transactions.

RBA Repos are not automatically reversed. All reversals must be initiated by participants, not the RBA.

The reversal of an RBA Repo is a one sided transaction that does not require the RBA to confirm each transaction.

At the close of the day session, all outstanding RBA Repo reversals are not automatically sent to the RTGS queue for reversal. The Repo is available for reversal in the following available session.

These transactions automatically roll over to the next trading session for unwinding. The cash component of the unwind includes an interest component set by the RBA.

To reverse an RBA Repo trade:

1. Select **Trades>View RBA Repos**. This displays the *RBA Repos* screen.

Open	Sub pa	articipant/Counterpa	art:	•	Series:		<u>S</u> earch		
Series	ISIN	Reference Pric	Volume	Issuer	Full Name Iss	Paym. Currenc	Paym, Amount	Original Settl.	Settlement Da
					,				

2. Select **Open** from the *View* pull-down menu.

In order to reverse an RBA Repo trade, the trade needs to be open.

3. Enter the required search criteria, and click **Search**.

This displays the RBA Repos screen with all the RBA Repos relevant for the user.

- 4. Select the required transaction to be reversed.
- 5. Right-click and select Reverse.

This displays the Reverse RBA Repo screen.

View:	Open	Sub par	ticipant/Counter	part:		Sear	ch
	Series	ISIN	Reference Pric	Volume	Issuer	Full Name Iss	Paym
	TB0119	AU0000XCL	103.36600000	50,000.00	COMM	ISSUER ONL	AUD
	TB0119	AU0000XCL	103.36600000	-50,000.00	COMM	ISSUER ONL	AUD
	TB0130	AU3TB0000	104.26600000	5,000.00	COMM	ISSUER ONL	AUD
•	TB0130	AU3TB0000	10 View De	tails	СОММ	ISSUER ONL	AUD
	TB0130	AU3TB0000	10 Reverse)	COMM	ISSUER ONL	AUD
	TB0130	AU3TB0000	10	sh Totals 🗸 🕴	COMM	ISSUER ONL	AUD
	TB0130	AU3TB0000	10) () () () () () () () () () () () () ()	COMM	ISSUER ONL	AUD
	TB0130	AU3TB0000	1C Select All)	COMM	ISSUER ONL	AUD
			Сору				
			Sort By				
			Column S	iettings			
			Export to	File			
			Print				
•							
	; Found						

📓 Reverse RBA Repo: 166595	565 📃 🗆 🗙					
E Acting for (F9): ACHO20	•					
Payment Instruction						
Currency:	AUD					
Cash record:	092-002-21938-0					
Security Instructions						
Series:	TB0130					
Issuer:	COMM					
Full name issuer:	ISSUER ONLY COMMONWEALTH					
Open volume:	5,000					
Gross payment amount:	5,213.3					
Sub account:	HOUSE					
Release volume:						
Calculated payment amount:	Calculate					
Public Settlement Details						
Public comment:						
🖃 Internal Settlement Details						
Override cash record priority:	•					
Sub participant ref.:						
🖃 Current Repo Rule						
Current reference price:	104.266					
Current margin ratio (%):	100					
Current penalty interest rate (%):	2.7					
	OK Cancel					

13 Settling a Trade

Settlement details such as the status and settlement instructions can be viewed for a trade/transaction for Cash, DSS, FIS, Market Repos, OCH Margins, ASX Margins and RBA Repos.

The generic procedure for settling a trade is listed below. However, where there are differences, the system rules have been provided on a product by product basis.

13.1 Viewing Trade Settlement Status

To view the settlement status of a trade:

- 1. Select Trades>View Trades.
- 2. Enter search criteria, and click **Search**.

This displays all the trades relevant to the user.

- 3. Select the required transaction.
- 4. Right-click and select **Properties**.

The trade Information screen is displayed. This includes:

- Trade State
- Trade Substate.

State		Series:	ISIN:	Sub Particip SFEC20	ant: Counter	rpart: T	rade Type:	•	Currency:		attlement From: 12/02/2015	ai – –	Search
	Trade No	Version	ISIN	Sub Participa	Counterpart	Series	Info	Settlement In	Cash Rec	PPH 🔺	Sub Account	Currency	Sub Parti
•	45	1		SFEC20	ACSL21		Test trade 1						
	62	3	AUD00000009	SFEC20	ACSL21	AUD		19288729	003-000			AUD	
	82	6	AU3TB0000127	SFEC20	ACSL21	TB0135		19288731	003-000	99.6840	HOUSE	AUD	
	84	3	AU3TB0000127	SFEC20	ACSL21	TB0135		19288735	003-000	99.6840	HOUSE	AUD	
	85	6	AU3TB0000127	SFEC20	ACSL21	TB0135		19288737	003-000	99.6840	HOUSE	AUD	
	90	3	AU3TB0000127	SFEC20	ACSL21	TB0135		19288741	003-000	99.6840	HOUSE	AUD	
	91	2	AU3TB0000127	SFEC20	ACSL21	TB0135		19288743	003-000	99.6840	HOUSE	AUD	
4													<u>.</u>

13.2

To view settlement instructions for a trade:

Viewing Trade Settlement Instructions

- Select Settlement>View Settlements>Settlement Instructions. This displays the Settlement Instructions screen.
- 2. Enter search criteria, and click **Search**.

The instructions to which the user is party or proxy to are displayed.

itate:		Series:	ISIN:	Sub partici	pant: Counter	part: Settle	ment date:	Source:	Tr	ansaction type:			
	•			SFEC20		⊡ 12	/02/2015 💌		•		•	 Image: Image: Ima	Search
	Transaction T	Setti. Instr. No.	State	Sub Participa	Counterpart	Paym. Curren	Paym. Amoun	Series	ISIN	Volume	Settlement D	Source Ref.	Sourc
•	Cash Trade	19288729	Settled	SFEC20	ACSL21	AUD	1,000,000.00				12/02/2015	62	Clearing
	Security Trade	19288731	Cancelled	SFEC20	ACSL21	AUD	1,993,680.00	TB0135	AU3TB0000	-2,000,000.00	12/02/2015	82	Clearing
	Security Trade	19288732	Cancel Com	SFEC20	ACSL21						12/02/2015		Clearing
	Security Trade	19288735	Matched	SFEC20	ACSL21	AUD	498,420.00	TB0135	AU3TB0000	-500,000.00	12/02/2015	84	Clearing
	Security Trade	19288737	Cancelled	SFEC20	ACSL21	AUD	1,495,260.00	TB0135	AU3TB0000	-1,500,000.00	12/02/2015	85	Clearing
	Security Trade	19288739	Cancel Com	SFEC20	ACSL21						12/02/2015		Clearing
	Security Trade	19288741	Matched	SFEC20	ACSL21	AUD	498,420.00	TB0135	AU3TB0000	-500,000.00	12/02/2015	90	Clearing
	Security Trade	19288743	Matched	SFEC20	ACSL21	AUD	996,840.00	TB0135	AU3TB0000	-1,000,000.00	12/02/2015	91	Clearing
(

- 3. Select the required transaction.
- 4. Right-click and select State History.

This displays the *State History* screen with the Security and/or cash that is locked in, and whether cash limits and RTGS processing have taken place.

	State	Settlement Object	Time 🔺
►	Matched	Settlement Instruction	23/03/2015 11:03:55 AM
	Not Settled	Settlement Obligation	23/03/2015 11:04:05 AM
	Not Ready	Settlement Obligation Group	23/03/2015 11:04:05 AM
	Settled	Settlement Instruction	23/03/2015 11:04:27 AM
	Waiting In Qu	Settlement Obligation	23/03/2015 11:10:56 AM
	Ready To Settle	Settlement Obligation	23/03/2015 11:10:56 AM
	Ready To Settle	Settlement Obligation Group	23/03/2015 11:10:56 AM
	Payment Pendi	Settlement Obligation Group	23/03/2015 11:10:56 AM
	Cash Record U	Settlement Obligation	23/03/2015 11:11:07 AM
	Settled	Settlement Obligation	23/03/2015 11:11:07 AM
	Securities Tra	Settlement Obligation Group	23/03/2015 11:11:07 AM
	Settled	Settlement Obligation Group	23/03/2015 11:11:07 AM

13.3 System Rules

The following generic system rules apply:

- When trades are Matched the system automatically creates a settlement instruction and a settlement instruction with a state of Matched in preparation for settlement.
- On the settlement day, the settlement instruction undergoes cash limit testing and RTGS processing.
- On completion of cash limit testing and RTGS processing, the settlement instruction state changes to Settled and the holdings and/or cash records of both the buyer and seller are updated (for RBA Repos the cash records are updated with the net settlement amounts).
- When cash limit testing is not yet complete, a state of **Waiting in Queue** is displayed as the last state in the State History screen.
- When RTGS processing is not yet complete, a state of **Payment Pending** is displayed as the last state in the State History screen.
- To settle a trade manually, set the cash record priority to **Deferred** or the trade to **Deferred** in order to prevent the system from automatically processing the transaction.

13.3.1 Cash

When a cash trade is **Matched**, the system automatically creates a settlement instruction with a state of **Matched** in preparation for settlement.

13.3.2 FX

Rules for FX include:

- There is no settlement of the Foreign Exchange. No Settlement Instruction is created for a FX transaction in the system.
- The FX functionality in the system is solely for Confirmation purposes only.
- Once the FX is matched by the Bank and the Corporate Client a Confirmation Swift message MT300 is automatically sent to the Bank advising the Bank that the Corporate Counterparty agrees with the terms of the FX Deal.

13.3.3 FIS, DSS & Market Repos

The option to set a trade to **Deferred** state is only available to FIS, DSS and Market Repo trades. When a **Deferred** trade is **Matched**, the system will record the trade in a **Matched** state but it will not create a settlement instruction unless the **Deferred** status is removed. Once the **Deferred** status is removed, the system will automatically create a settlement instruction and the trade will proceed to the settlement queue.".

14 Managing Queues

All settlements pending settlement are displayed in a managed queue. It is possible to manipulate the processing order of the settlements in the queue by changing the sub account priority or the cash record priority of the settlements.

14.1 Managing Queue Priority

The ability to manage queue priority is a function for all products – Cash, DSS, FIS, FX, Market Repos, RBA Repos, OCH Margins and ASX Margins.

To manage queue priority:

1. Select **Settlement>Manage Queue Priority**. This displays the *Manage Queue Priority*

screen.

- 2. Specify search criteria and click **Search**.
- 3. Select the required transaction.
- 4. Right-click and select Set Priorities>Active/Deferred/Priority.

account:	Sub account p	riority: Cash r	ecord:	Cash record pr	iority:	Sub pa	articipant:	Series:	Currenc	y:	
					T	SFEC2	20			• 3	Search
Settlement O	Sub Account	Cash Record	Security Lock	Cash Locked	Se	eries	ISIN	Volume	Payment Amo	Currency	Settlement D
18607765	Deferred		No		TB0135	5	AU3TB0000	-500,000.00	498,420.00/	AUD	12/02/2015
18607769			No		TB0135	5	AU3TB0000	-500,000.00	498,420.00/	AUD	12/02/2015
Properties	A shire		No		TB0135	5	AU3TB0000	-1,000,000.00	996,840.00	AUD	12/02/2015
Set Priorities Volume/Amount : Select All Copy Sort By Column Settings. Export to File Print		Active Deferred Priority									

5. Change the cash record priority or the sub account priority.

For field descriptions, see Appendix 18 – Queue Management Field Descriptions.

14.2 System Rules

Sub accounts and cash records can be assigned one of the following priorities:

- Priority
- Active
- Deferred on cash record or security sub account

Priority is the highest level status given to sub accounts and cash records on the queue.

Active is the status given to sub accounts and cash records with medium priority. Transactions linked to sub accounts/cash records with a medium priority will be processed when there are no priority transactions on the queue.

Deferred on cash record or security is given to sub accounts and cash records when settlement is to be deferred. Transactions linked to sub accounts/cash records in a deferred status will not proceed to cash limit testing or the RTGS queue.

Before each transaction can be processed, the sub accounts and cash records require a Priority or Active status.

15 Recalling Trades

This functionality provides the ability to recall a trade from the RTGS queue.

This is a generic function for all products – Cash, DSS, FIS, FX, Market Repos, RBA Repos, OCH Margins and ASX Margins.

Only trades with settlement instructions in a state of Payment Pending can be recalled from the RTGS queue.

When a recall is performed on a 1st leg Repo it cancels the 2nd leg Repo. To recall a trade:

1. Select Settlement>View Settlements>Settlement Instructions.

This displays the Settlement Instructions screen.

2. Select Matched from the *State* pull-down menu.

Settlement Ins	tructions - ACHO	02095								_ 🗆 ×
State:	Series:	ISIN:	Sub particip	ant: Counter		Source:	Т	ransaction type		
•					12/02/2015 💌		•		3	Search
Cancel Pending Cancel Requested		State	Sub Participa	Counterpart	Paym. Curren Paym. Amou	n Series	ISIN	Volume	Settlement D	Source
ancelled										
Completed releted										
ailed										
latched ending Payment Sy	stem Recal									
onderge agrindent by										
l 🗌										D
eady										

3. Specify search criteria and click **Search**.

This displays all the trades settling on the specified date.

4. Select the required transaction to be recalled.

te: tche		Series:	ISIN:	Sub partic	pant: Counte	rpart:		ment date: /02/2015 💌	Source:		ransaction type: Security Trade	0	Search
		Settl. Instr. No.	State	Sub Participa			Curren			ISIN	Volume	Settlement I	
-	Properties	10000704		100 21	SFEC20	AUD		-498,420.00		AU3TE0000	500,000.00	12/02/201	
	State History			20	ACSL21	AUD		498,420.00		AU3TB0000	-500,000.00	12/02/201	
	Historical Modif	ications		21	SFEC20	AUD		-498,420.00		AU3TB0000	500,000.00	12/02/201	
				20	ACSL21	AUD		498,420.00		AU3TB0000	-500,000.00	12/02/201	
	Accept/Reject I			21	SFEC20	AUD		-996,840.00		AU3TB0000	1,000,000.00	12/02/201	
	Accept Bulk Tra			20	ACSL21	AUD		996,840.00	180135	AU3TB0000	-1,000,000.00	12/02/201	5 91
	Substitute												
	Release												
	Reverse RBA R	epo											
		w Corporate Action Settlement Instructions verse RBA Repo liate Netting aring Bank Payment Responses ume/Amount Available											
	Volume/Amoun/	t Available											
	Instruct Underl	ying Obligation											
	View Underlying	g Obligation											
	Authorize												
	Cancel												
		el											
	Recal												
	Accept Cancel I	Request											
	Select All												
	Copy												
	Sort By												
	Column Setting												
	Export to File	•											
	Print												

5. Right-click and select **Recall**.

Selecting Recall removes the transaction from the RITS queue.



16 Conducting Trade Splits

Trade splits can be initiated by either counterparty to a trade, but must be authorised before the split can proceed to settlement. Once the trade split has been authorised, it can be either confirmed or rejected.

16.1 Initiating a Trade Split

This function is performed for DSS, FIS and Market Repos.

The settle status for the original DvP must be Matched otherwise the request is rejected. The current date must be the settlement date.

To initiate a trade split:

- 1. Select Trades>View Trades.
- 2. Specify search criteria and click **Search**.
- 3. This displays all of the trades that the user is party or proxy to.
- 4. Select the transaction to be split.
- 5. Right-click and select **Split Trade**.

Properties
Authorise Trade
Bulk Authorise Trade
View Trade History
Cancel Trade
Confirm/Reject Cancel Trade
Show Counterpart Trade
View Settlement Instruction
Confirm/Reject Trade
Print Confirmation Letter
Split Trade
View Unwind Repos
Select All
Сору
Sort By
Column Settings
Export to File
Print

The Split Trade screen is displayed.

🖉 Split Fixed Income 83				
E Acting for (F9): ACH	020 -			
🖃 Public Trade Details				_
Trade Number:	83			
Trade State:	Matched			
Trade SubState:				
Sub Participant:	ACSL21			
Counterpart:	SFEC20			
Trade Type:	FIS Trade			
Series:	TB0135			
ISIN:	AU3TB0000127			
Maturity Date:	21/07/2017			
	Reset			
Annual Interest:	4.2500			
Description:	TREASURY BOND 21-JU	LY-2017 4.25%		
Issuer:	COMM			
Side:	🖲 Buy 🦱 Sell			
Trade Date:	12/02/2015			
Settlement Date:	12/02/2015			
Face Value:	2,000,000.00			
Yield:	4.5000			
Payment Settle:	🕼 Yes 🌔 No			
Sell Settle Instruction:				
Settle Currency:	AUD			
Information:				
Consideration:	1,993,680.00	Calculate		
PPH:	99.684			
Matching Trade No:	82			
Settlement Instruction No:	19288730			
Source:	Austraclear			
California Chalas	Net Deede			-
			ок	Cancel

6. Enter the required value for the first split in the Split Face Value field and select Calculate.

🖃 Split Details	
Split Face Value:	Calculate
Split Face Value Balance:	
Split Consideration:	
Split Consideration Balance:	

The system calculates the split face value balance, split consideration and split consideration balance.

🖃 Split Details		
Split Face Value:	500,000	Calculate
Split Face Value Balance:	1,500,000	
Split Consideration:	498,420	
Split Consideration Balance:	1,495,260	

7. Click OK.

Click OK to commit the split trade. The Sub Settle Status now shows as Split Pending.

Once the split is confirmed, the Trade Substate is displayed as Split Requested for the counterparty.



Note: The trade split needs to be confirmed or rejected by the counterparty. The trade split cannot be cancelled by cancelling the trade however the Settlement Instruction can be cancelled which achieves the

same result (i.e. trade will not settle).

16.2 Confirming or Rejecting a Trade Split

This function is performed for DSS, FIS and Market Repos.

Trade splits can be initiated by either counterparty to a trade, but must be confirmed before the split can proceed to settlement.

To confirm or reject a trade split:

- 1. Select **Trades>View Trades**.
- 2. Specify the search criteria and click Search.

This displays all the trade split transactions awaiting confirmation.

- 3. Select the required transaction to be confirmed or rejected.
- 4. Right-click and select Confirm/Reject Trade.



5. Verify details and either Confirm or Reject the request.

Acting for (F9):	ACH020 •	
Public Trade Del	ails	
Trade Number:	87	
Trade State:	Matched	
Trade SubState:	Split Requested	
Sub Participant:	ACSL21	
Counterpart:	SFEC20	
Trade Type:	FIS Trade	
Series:	TB0135	
ISIN:	AU3TB0000127	
Maturity Date:	21/07/2017	
	Reset	
Annual Interest:	4.2500	
Description:	TREASURY BOND 21-JULY-2017 4.25%	
Issuer:	COMM	
Side:	🕼 Buy 🥂 Sel	
Trade Date:	12/02/2015	
Settlement Date:	12/02/2015	
Face Value:	1,500,000.00	
Yield:	4.5000	
Payment Settle:	@ Yes C No	
Sell Settle Instruction:		
	Confirm Reject	Cancel

6. Click **OK**.

EXIGO	×
Trade Number 87 has been split. Child trades 88, 89 have b	een created
	OK

17 Renegotiating or Unwinding a Market Repo Trade

This function is performed for Market Repos only. Renegotiations can be effective for both same day and next day. All Fixed Term, Intraday and At Call repos can be renegotiated. The 2nd leg of a repo cannot be renegotiated until the 1st leg is settled.

Both partial and full unwinds are permitted on repo transactions. Repos will not automatically be unwound on 2nd transaction date unless Participants elect to opt in to use the auto unwind functionality. All unwinds must be initiated by participants and either the buyer or the seller may initiate the unwind.

When renegotiating or unwinding a Market REPO Trade, the following rules apply:

- A physical 2nd leg trade will be created once a 1st leg has been MATCHED in Austraclear
- No renegotiation is permitted on the 2nd leg until the 1st leg has SETTLED
- Only 1 outstanding renegotiation or unwind request can be made
- If a renegotiation or unwind is outstanding, the request needs to be matched or cancelled in order for a subsequent renegotiation or unwind request to be made
- Splitting a 1st leg will split the 2nd leg in the same proportion
- A Failed, Cancelled or Recalled 1st leg market repo will Cancel the 2nd leg
- Unwinding a market repo will **not** reduce the face value on the 2nd leg
- A partial unwind will split the 2nd Leg Repo into two new 2nd leg Repos.

17.1 Renegotiating or Unwinding a Market Repo Trade

To initiate the renegotiation or unwinding of a Market Repo trade.

To initiate the renegotiation or unwinding of a Market Repo trade (renegotiating or unwinding a Market Repo trade can only occur once the first leg has settled):

- 1. Select Trades>View Trades.
- 2. Specify the required search criteria and click Search.
- 3. Select the required transaction.
- 4. Right-click and select Reneg Trade or Unwind Trade and click OK.



^{6.} Click **Calculate**.

🛃 Reneg FIS Repo			_ 🗆 ×
E Acting for (F9): ACHO)20 🔽		
1st Trans Date:	16/04/2015		_
2nd Trans Date:	20/04/2015 💌		
No. Of Days:	4		
Face Value:	1,000,000.00		
Yield:	3.0000		
Cash Rate:	3.5		
Margin Ratio:	100.00		
Payment Settle:	🚱 Yes 💭 No		
Sell Settle Instruction:			
Settle Currency:	AUD		
Information:			
Consideration:	1,078,730.00	Calc both consid,	
Unwind Consideration:	1,079,350.64	Calculate	
PPH:	107.873		
Use SSI:	🕼 Yes 🜔 No		
🖃 Internal Trade Details			
Sub Account:	HOUSE		
Override Sub Acct Priority:			
Cash Record:	012-055-835795518		
Override Cash Rec. Priority:			
Sub participant Ref:			•
		ОК	Cancel

The system calculates the consideration of the new unwind consideration.

7. Click **OK**.

Wait until both sides have completed reneg before going to the next step.

8. Select View Renegs/Unwinds to view the completed state.

0	Reneg/Unwinds for Trade 12082 - ACH02095									
	Operatio	n; Sta	ate:	Se	ries:	ISIN:	Sub Particip	ant: Counte	rpart:	REPO Type
I				_						
		Auth Fr	rom	Sub Participa	Use SSI	Created Time	Cash Rate	Repo Operati	State	Suk
Þ					Yes	15/04/2015	3,5000	Reneg	Completed	

To unwind a market repo:

- 9. Select Trades>View Trades.
- 10. Specify the required search criteria and click **Search**.
- 11. Select the required transaction.
- 12. Right-click and select Unwind Trade and click OK.



13. Enter the unwind face value.

14. Click Calculate.

🖉 Unwind FIS Repo			
CH Acting for (F9): ACH	220 -		
2nd Trans Date:	23/04/2015		<u> </u>
No. Of Days:	7		
Face Value:	1,000,000.00		
Unwind Face Value:	1,000,000.00		
Yield:	3.0000		
Cash Rate:	3.0000		
Margin Ratio:	100.00		
Payment Settle:	🕼 Yes 🌔 No		
Sell Settle Instruction:			
Settle Currency:	AUD		
Information:			
Consideration:	1,078,730.00	Calc both consid.	
Unwind Consideration:	1,079,350.64	Calculate	
PPH:	107.873		
Use SSI:	⊙ Yes ⊂ No		
🖃 Internal Trade Details			
Sub Account:	HOUSE		
Override Sub Acct Priority:	_		
Cash Record:	012-055-835795518		
Override Cash Rec. Priority:	•		
Sub participant Ref:			-
		ок	Cancel

15. Click OK.

17.2 Authorise a Renegotiation or Unwinding on a Market Repo Trade

A user cannot Authorise a transaction that has been entered by that same user. An alternate user must authorise those transactions.

To authorise a renegotiation or unwinding on a Market Repo:

16. Select Trades>View Renegs/Unwinds.

This displays the View Reneg/Unwinds screen.

17. Specify search criteria and click **Search**.

All the trades that the user is party to are displayed.

- 18. Select the required transaction.
- 19. Right-click and select Authorise Reneg/Unwind.

🚫 Vie	w Reneg/Unwi	inds - SFEC20)13	
Oper	ation: State:		Series:	ISIN:
		•		
	Reneg/UW N	Version	ISIN	Sub Participa
	1385	1	AU3TB0000	SFEC20
	Properties			
	Authorise Rene	eg/Unwind		
	Cancel Reneg/	Unwind		
	Confirm/Reject	: Cancel Reneg	/Unwind	
	Show Counterp	part Reneg/Un	wind	
	View Reneg/Ur	wind History		
	View Settlemer	nt Instruction		
	View Trade			
	Select All			
	Сору			
	Sort By			
	Column Setting	IS		
	Export to File			
•	Print			
1 Item	Found			

20. Verify the details and click **Authorise**.

Acting for (F9):	SFEC20 ·
🖃 Public Trade Det	ails
Unwind Number:	1385
Unwind State:	Unmatched
Unwind SubState:	
Sub Participant:	SFEC20
Counterpart:	ACSL21
Trade Type:	FIS Repo Second Leg
REPO Operation:	Unwind
Series:	TB0132
ISIN:	AU3TB0000093
Maturity Date:	21/01/2018
	Reset
Annual Interest:	5.5000
Description:	TREASURY BOND 21-JANUARY-2018 5.5%
Issuer:	COMM
Side:	🕼 Buy 🍈 Sell
Trade Date:	16/04/2015
Reneg/UW Date:	16/04/2015
1st Trans Date:	16/04/2015
Ist mails bate:	23/04/2015
2nd Trans Date:	25/04/2015
	7
2nd Trans Date:	
2nd Trans Date: No. Of Days:	7
2nd Trans Date: No. Of Days: Face Value:	7 1,000,000.00
2nd Trans Date: No. Of Days: Face Value: Unwind Face Value:	7 1,000,000.00 1,000,000.00

18 Entering and Authorising a Pledge for a DSS or FIS Holding

The *Create Pledge* screen enables participants to use securities from their FIS/DSS Holdings as security for a secured loan to be settled via the ASX Austraclear System.

Pledge transactions must be initiated by the Pledgor who must hold the securities in their holdings. Securities held in any sub account may be used for a pledge.

Pledges may be entered against receipt of a payment amount or free of payment i.e. no payment received for the pledge.

18.1 Creating a Pledge for a DSS/FIS Holding

To create a pledge for a DSS/FIS Holding:

- 1. Select Holdings>View Holdings. This displays the Holdings screen.
- 2. Specify search criteria and click Search.
- 3. Select the required holding.
- 4. Right-click and select Create Pledge from Holding.

\diamond	Ho	ldings - A	сно	2095				
Но	ldin	g date:		Sub account:		Series cl	ass:	
12	/02	/2015	•					•
		Sub Acc	ount	Seri	es		ISI	N
Þ		Transfer H Bulk Transl Bulk Transl View Resel View Non-f Withdraw : View Pledg Create RB	Ioldin fer H fer G rvatio Fungi Secur Ie Del A Rep	olding ollateral on Details ble Series Units ity tails oo Based on Hold	ling		AU3TBO	00
		Select All Copy Sort By Column Se Export to P Print	ttings					
▲ 1 It	em:	Found						

5. Enter pledgee details, volume and payment instructions if applicable.

If entering a pledge free of payment, right-click in the *Payment Instruction* field and select **Delete** to delete the row.

If the pledgor requires authorisation, this must be completed before the pledge is able to accept the pledge. For more information, see *Authorising a Pledge*.

For field descriptions, see Appendix 19 – Pledges Field Descriptions.

🞬 Create Pledge 💶									. 🗆 🗵	
🖳 Act	ing for (F9): ACHO20	-							
🖃 Publi	ic Settler	ment Details		Override sub	account priority:		•			
Pledgor:		AC5L2	:1	Override cash	Override cash record priority:					
Pledgee:		SFEC2	:0	Sub participar	ntref.:					
Settleme	nt date:	16/04	/2015 💌	Internal comm	nent:					
Pledgee	ref.:			_						
Rate/Put	olic comn	nent:		_						
🖃 Inter	rnal Sett	lement Details								
- Pledo	200									
										_
	+/-	Series TB0132	Series Descripti 🔺	Volume 500,000.00		ull Name Iss	ISIN	Sub Account HOUSE	Priority	
*		100132		300,000.00				INCOSE	Heave	
^										
🖃 Paym	ent Inst	ruction								
	+/-	Amount	Currency	Cash Record	Priority					
•	+	500,000.00	AUD	032-000-224166	Active					
*										
									OK Ca	ncel

6. Click OK.

It is also possible to create a pledge by selecting **Trades>Create Trade>Pledge**. If this option is used, information about the relevant holdings will need to be input. Also, note that in both options, fields in the 'Pledges' and 'Payment Instructions' are not marked as mandatory.

🚫 ASX Austraclear [ACH020JM] TEST S	YSTEM	
File View Sub Participants Holdings	Trades Settlement Stock Lending Series Administration Window	н
	View Trades	
Default Acting for (F9): ACHO20	View <u>R</u> BA Repos	
EXIGO Instance: qcexmt203	View <u>P</u> ledges	
	Bill Nominations	п 1
	View RBA Trade Monitoring	ģ
	View Reneg/ <u>U</u> nwinds	(
		٦.
	Fixed Income Repo	F
	Discount Securities	8
	Discount Securities Repo	-
	⊆ash	
	F <u>X</u>	
	Pledge	
	Bill Delivery	
	Bill <u>N</u> omination	
	Bulk Cash <u>T</u> ransfer	
	Settlement Instruction	

18.1.1 Accepting or Rejecting a Pledge

To accept or reject a pledge:

- 1. Select Trades>View Pledges. This displays the *Pledges* screen.
- 2. Select **Pending** from the *View* pull-down menu.
- 3. Specify search criteria and click **Search**.
- 4. Select the required pledge.
- 5. Right-click and select Accept/Reject.

This accepts or rejects the selected pledge.

Pledges - ACH02095								
View:	2	Series:	ISIN:	P				
Pendir	ng 🔽							
	Settlement Da	Series	Series Descrip	ISIN				
►	16/04/2015		TREASURY	AU3TB0000				
	Properties	5						
	Authorise							
	Cancel							
	Details SI							
	Accept/Reje	ect						
	Select All							
	Сору							
	Sort By							
	Column Set	tings						
	Export to Fi	le						
	Print							
•								
1 Item I	Found							

6. Enter the cash record and select Accept/Reject.

If the pledgor requires authorisation, this must be completed before the pledge is able to accept the pledge. For more information, see *Authorising a Pledge*.

[Ac	📓 Accept/Reject: 16697161 📃 🗖 🗙								
Characteristic ACHO20									
🖃 Pu	ıblic Sett	lement Deta	ails		Override sub a	account priority	:		
Pledgo	r:		ACSL21	L	Override cash	record priority:		•	
Pledge	e:		SFEC20)	Sub participan	t ref.:			
Settler	nent date:		16/04/:	2015 💌	Internal comm	ient:			-
Pledge	e ref.:								
Rate/F	ublic comn	nent:							
🖃 In	ternal Sett	lement Details	;						
🖃 Ple	dges								
	+/-	Series	;	Series Description	Volume	Issuer	Full Name Iss	ISIN	
•	+	TB0132		TREASURY BOND	500,000.00	COMM	ISSUER ONL	AU3TB0000	
 - Par	yment Inst	ruction							
	+/-	Amour	nt	Currency	Cash Record	Priority			
•	- 500,000.00 AUD								
						Accep	ot Reje	ect Car	ncel

18.1.2 Releasing a Pledge

The Release screen enables participants to release securities used for a secured loan when the loan is repaid.

Pledges may be entered as Free of Payment or DvP.

Release Pledge transactions must be initiated by the participant (Pledgor) who entered the original Pledge, with the securities not being released until the other participant (Pledgee) has confirmed the release of the pledge.

To release a pledge:

- 1. Select Trades>View Pledges. This displays the *Pledges* screen.
- 2. Select **Active** from the *View* pull-down menu.

🚫 Pledges -		
View:	Series:	
Active		
Active Pending Historical	Series Descrip	
Specify t	he required search crite	ria and click Search

- 4. Select the required pledge.
- 5. Right-click and select **Release**. This displays the *Release* screen.

Pledges - ACHO2095								
Vie	w:	Series:		ISIN:				
Ac	tive 💌							
	Series	Series	Descrip	ISIN	Vol			
	TB0132	TREASU	JRY	AU3TB0000	500			
Þ,	TB0132	TREAS	JRY	AU3TB0000	500			
	View Details							
	Release							
	Substitute							
	Select All							
	Сору							
	Sort By							
	Column Setting	s						
	Export to File							
	Print							
'			-					
, 2 It	2 Items Found							

6. Enter the release details and click **OK**.

If the pledgor requires authorisation, this must be completed before the pledge is able to accept the pledge. For more information, see *Authorising a Pledge*.

🚰 Release: 16697161			
CH_ Acting for (F9): ACHO20			
Public Settlement Details	Override sub account priority	/:	
Pledgor: AC5L21	Override cash record priority	:	
Pledgee: SFEC20	Sub participant ref.:		
Settlement date: 16/04/2015 💌	Internal comment:		
Pledgee ref.:		I	
Rate/Public comment:			
Original instruction no.: 16697161 Show			
Internal Settlement Details			
Pledges			
Series Series Descrip Active Volume	Issuer Full Name Is:	ISIN Sub Acco	ount Release Volume
▶ TB0132 TREASURY 500,000.00	COMM ISSUER ONL.	AU3TB0000 HOUSE	500000
Payment Instruction			
	Cash Record Priority		
+/- Amount Currency	Cash Record Priority		
			OK Cancel

18.1.3 Substituting a Pledge

The Substitute screen enables participants to substitute securities used for a secured loan for alternate securities, without repaying the loan.

Substitute pledges may only be entered as Free of Payment.

Substitute Pledge transactions must be initiated by the participant who entered the original pledge, with the securities not being substituted until the other participant has confirmed the substitute pledge.

To substitute a pledge:

- 7. Select Trades>View Pledges.
- 8. Select Active from the View pull-down menu.
- 9. Enter search criteria and click **Search**.
- 10. Select the required pledge.
- 11. Right-click and select **Substitute**.

This displays the Substitute screen.

If the pledger requires authorisation, this must be completed before the pledge is able to substitute the pledge. For more information, see *Authorising a Pledge*.

🚫 Pledges - ACHO20JM						
View:		Series:	I			
Active	•					
s	eries	Series Descrip	IS			
ANZBO	09 Vie Rel	w Details lease	EC1			
	Sel	Select All				
2 Items Found	d Sor	Copy Sort By				
3	Exp	Column Settings Export to File				
	Prir	nt				

12. Enter the substitute details, and click **OK**.

To enter the substitute details, type over the original series in the Series field. Click **OK** when all of the required details have been entered.

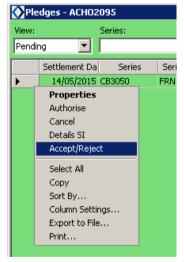
🖀 Substitute: 16697161 💦 📃 🗙								
Characterization (F9): ACHO20								
Public Settlement Details	🖃 Internal S	Settlement Details						
Pledgor: ACSL21	Override sub	account priority:	•					
Pledgee: SFEC20	Sub participa	nt ref.:						
Settlement date: 16/04/2015	 Internal comm 	nent:						
Pledgee ref.:								
Rate/Public comment:								
Original instruction no.: 16697161	Show							
Pledges								
+/- Series Series	Description Volume	Issuer Full Name Iss	ISIN	Sub Account	Priority			
TB0134 TREASU	JRY BOND 500,000.00	COMM ISSUER ONL	AUSTBOODO HO	OUSE	Active			
*								
				0	K Cancel			

18.1.4 Accepting or Rejecting a Substitute Pledge

To accept/reject a substitute pledge:

- 1. Select Trades>View Pledges.
- 2. Select **Pending** from the *View* pull-down menu.
- 3. Select the required pledge.
- 4. Right-click and select Accept/Reject.

This displays the Substitute Pledge screen.



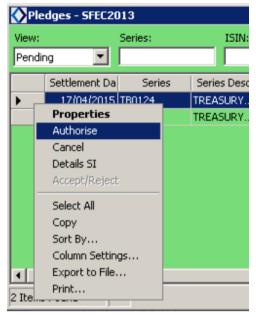
5. Click **Accept** or **Reject**.

Click Accept to accept the substitute pledge or Reject to reject the substitute pledge.

18.1.5 Authorising a Pledge

If a Pledgor requires authorisation, this must be completed before the Pledgee is able to accept the pledge. To authorise a pledge:

- 1. Select Trades>View Pledges. This opens the Pledges screen.
- 2. Select **Pending** from the *View* pull-down menu.
- 3. Specify the required search criteria and click **Search**.
- 4. Select the required pledge.
- 5. Right-click and select **Authorise**.



6. Click OK.

Check the listed details and click **OK** to authorise the pledge.

🌃 Au	thorise Settlen	nent I	nstruction:	16697180			_	
₽ <u></u> (acting for (F9):	SFEC2	20	•				
🖃 Pu	ublic Details							_
Settl. i	nstruction no.:		16697180					
Sub pa	articipant:		SFEC20					
Count	erpart:		ACSL21					
Settler	ment date:		17/04/2015					
State:			Unmatched					
Opera	tion type:		Payment					
Transa	action type:		Pledge					
Messa	ge type:		Pledge Vers	us Payment				
Count	erpart ref.:							
Settler	ment method:		RTGS					
Public	comment:							
Source			CSD					
Source	eref.:							
Accept	t/Reject:							
🖃 In	ternal Details							-
🖃 Se	curity Instruction							
	+/-		Series	Volume	Price	Sub Account	Priority	
•	-	TB	0124	500,000.00		HOUSE	Active	
🖃 Par	yment Instruction							
			Amount	C	Cash Record	Defender		
•	+/-		Amount 500,000.00	Currency AUD	003-000-RT	Priority Active		
						ок	Cano	el
-								

(j) ·

Note: Authorisation must be performed by a different user to the user who entered the transaction.

19 Transferring Holdings

This functionality enables DSS and FIS holdings to be transferred to other accounts.

19.1 Entering Holding Transfer Details

Participants can transfer holdings to either another of their sub participants or to another existing sub account. To transfer a DSS/FIS holding:

- 1. Select Holdings>View Holdings. This opens the Holdings screen.
- 2. Specify search criteria, and click **Search**.
- 3. Select the holding to be transferred.
- 4. Right-click and select Transfer Holding. This opens the Transfer Holding screen.

Holdings - SFEC2013									
Holdin	Holding date: Sub account: Serie								
17/04	/2015 🔽								
	Sub Account	Series							
▶ _	HOUSE	TB0122							
	View Security Transactions								
	Transfer Holding								
	Bulk Transfer	Holding,							
	Bulk Transfer	Collateral							
	View Reservation Details								
	View Non-Fungible Series Units								
	Withdraw Security								
	View Pledge (Details							

5. Enter the transfer details and click **OK**.

🚫 Transfer Holding	×
Sub participant:	SFEC20
Sub account:	HOUSE
Series:	TB0122
Series description:	TREASURY BOND 15-MAR-201
Available volume:	1,000,000
To sub participant:	SFEC20
To sub account:	ISSUER
Volume:	500,000
Sub participant ref.:	
Internal comment:	
	OK Cancel

19.2 Authorising the Transfer of Holdings

A user cannot authorise a transfer that they have entered. An alternate user must authorise transfers. To authorise a transfer of a holding:

1. Select Settlement>View Settlements>Settlement Instructions. This opens the

Settlement Instructions screen.

2. Specify the search criteria and click **Search**.

This displays the settlement instructions for all FIS or DSS transfers settling on the day and will default to today's

settlement date. The user can select transaction type of Transfer.

State:		Series:	ISIN:	Sub partici	pant: Counter	ment date: : /04/2015 💌	Source:		ansaction type: ansfer	•	3	Search
_	Transaction T	Settl. Instr. No.	State	Sub Participa	Counterpart	 	Series	ISIN	Volume	Settlement D	Source Ref.	Sourc
•	Transfer	16697487	Matched	SFEC20	SFEC20		TB0122	AU300TB01	500,000.00	17/04/2015		CSD
	Transfer	16697488	Matched	SFEC20	SFEC20		TB0122	AU300TB01	-500,000.00	17/04/2015		CSD

- 3. Select the holding to be authorised.
- 4. Right-click and select **Authorise**.

te:	•	Series:	ISIN:	Sub part
	Transaction T		State	Sub Particip
_	Transfer Transfer	16697487 16697488		SFEC20 SFEC20
	Properties State History Historical Mo	/		
	Accept/Reje Accept Bulk '	ct Pledge Transfer Holding		
	Substitute Release View Corpora	ate Action Settler	nent Instructi	ions
	Release	ate Action Settler	nent Instructi	ions
	Release View Corpor Reverse RB/ Initiate Netti Clearing Ban	ate Action Settler A Repo		ons
	Release View Corpor Reverse RB4 Initiate Netti Clearing Ban Volume/Amo Instruct Confirm Instruct Und	ate Action Settler 4 Repo Ing k Payment Respo	nses	ions

5. Check details and click **OK**.

20 Viewing and Confirming Corporate Actions for Issuers

Corporate actions (for issuers) enable users to view, instruct and monitor corporate actions relating to DSS and FIS Securities.

Corporate actions for DS consist of maturity payments only. Corporate actions for FIS consist of maturity payments, coupons and redemptions.

Maturity and coupon corporate actions are generated automatically by the system in the overnight recurring tasks, while redemption corporate actions are generated manually by the ASX Austraclear System after entry of the partial redemption values and interest and principal Price Per Hundred (PPH).

The ability to view the holder list on corporate actions is restricted to Issuer Representatives only.

DSS Instruments and FIS series that have matured are displayed in the *View Series* screen until such time as they are deleted from the system by Austraclear. To view holders highlight the series, right-click and select View Holders.

Corporate actions can be viewed and confirmed (instructed) via the following screens.

Series>View Corporate Actions

The Corporate Actions screen displays corporate actions once they have been created. This occurs five business days prior to Booksclose (record date).

rpo	rate action: L	Underlying se	aries: Is	suer:	Issuer represent	ative: From rec	ord date:	To record dat	e: From se	ttlement date:	1	
										•	[🕑 🔄	Search
	Corporate Action	n Comple	ete 🛛 List C	omplete State	e Description	Underlying Se	Event	Issuer	Issuer Repres	Record Date	Mandatory	12
	809320132974011	🔽	ſ	Active	MAT- 8093	8093	MAT-8093	WATS	WATC60	7/11/2013	V	Unk
	ABN20220071294.		ſ	Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	23/05/2007	✓	Uni
	ABN20220071594.		ſ	Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	25/06/2007	✓	Uni
	ABN20220071904.	🔽	Г Г	Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	23/07/2007	V	Uni
	ABN20220072214.	. 🗖	ſ	Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	23/08/2007	V	Uni
	ABN20220072534.		ſ	Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	24/09/2007	v	Uni
	ABN20220072824.		ſ	Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	23/10/2007	✓	Uni
	ABN20220073134.		ſ	Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	23/11/2007	✓	Un
	ABN20220073444.			Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	24/12/2007	V	Uni
	ABN20220079540.			Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	23/04/2007	V	Uni
	ABN20220091904.			Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	23/07/2009	~	Uni
	ABN20220092224.		- I	Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	24/08/2009	v	Uni
	ABN20220092524.		ſ	Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	23/09/2009	V	Uni
	ABN20220092824.			Active	CPN- ABN20	ABN202	CPN-ABN202	ABN2	ABNA21	23/10/2009	V	Unk

Settlement>View Settlements>Corporate Action Settlement Instructions

The Corporate Action Settlement Instructions screen displays all Corporate Action Settlement Instructions once they have been created after Booksclose (record date). This consists of one gross corporate action settlement instruction for each series. This represents the total payment amount for that series and a number of underlying corporate action settlement instructions, representing the individual coupon, redemption and maturity payment amounts to each holder.

orate action:	Underlyin	ng series: l	Jnderlying ISIN:	Issuer:	Iss	uer representative	: Operation	Sear
Corporate	Action	Underlying Se	Event Ref. Co	Operation Ty	Setti. Instr. N	Settlement D	Series	Issuer
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Corporate A	16646436	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646437	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646438	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646439	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646440	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646441	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646442	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646443	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646444	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646445	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646446	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646447	29/10/2014		ARTC
ARTC0320142	281405618	ARTC03	CPN-ARTC03	Coupon	16646448	29/10/2014		ARTC
ARTC0320140	281405618	ARTCO3	CPN-ARTCO3	Coupon	16646449	29/10/2014		ARTC

Administration>Monitor>Corporate Action Execution

The *Monitor Corporate Action Execution* screen is available to Issuer Representatives only. This screen provides a summary of all Corporate Actions for the current business day for that Issuer and shows the current settlement state for each Corporate Action.

Monitor Corporate Action Ex	ecution	- ACHO20JM								
View: No Grouping	Search:	Settlement Date	▼ Fr	om:	29/10/2014	•	To:	29/10/2014	•	Search
Planned (0) Holder List Created (0)		Corporate Action ARTC0320142814	No. of Set		State reparing Fo					
Settlement Instruction Created (0) Preparing For Settlement (2)		ARTC0320142014			eparing Fo					
Currently Executing (0) Successfully Executed (0)										
Failed (0)										

For field descriptions for corporate actions, see Appendix 7 – Corporate Actions Field Descriptions.

20.1 Viewing Planned Corporate Actions

To view and confirm DSS Maturity/FIS Coupon, Redemption and Maturity Corporate Actions:

- 1. Select Series>View Corporate Actions. This displays the Corporate Actions screen.
- 2. Specify search criteria and click **Search**.

The current corporate actions for DSS will be Maturities, and for FIS will be Coupon Payments, Redemptions and Maturities. From this screen, the holder list can be confirmed or viewed.

Confirming the Holder List

To confirm (instruct) the holder list, right-click and select **View Corporate Action Settlement Instructions**. This displays the *Corporate Action Settlement Instructions* screen. Specify the required search criteria and click **Search**.

rporate action: Und	lerlying series:	Issuer:		Issuer represent					
Corporate Action	Complete	List Complete	State	Description					
ABN20220091904	Propertie		l	0					
ABN20220092224	View Holde			0					
ABN20220092524			elume e	0					
ABN20220092824	View Holder Alternatives Volumes 0.								
ABN20220093134	View Corporate Action Settlement Instructions								
ABN20220093434	Select All								
ABN20220101140	Сору			0					
ABN20220101304	Sort By			0					
ABN20220101594	Column Sel	tings		0					
ABN20220101904	Export to F	ile		0					
ABN20220102214	Print			0					
ABN20220102524			Active	CPN- ABN20					
ABN20220102844			Active	CPN- ABN20					
ABN20220103134			Active	CPN- ABN20					

This displays the Corporate Action Settlement Instructions screen.

🔷 Co	orporate Actio	n Settlement	Instructions	- ACHO2095									_ 🗆 ×
Corpo	orate action:	Underlying seri	es: Under		Issuer: VWFS	Issuer re		Operation type: Corporate Actio			Sub participant:	- O -	Search
	Corporate Act	Underlying Se	Event Ref. Co	Operation Ty	Settl. Instr. N	Settlement D	Series	Issuer	ISIN	Volume	Sub Account	Paym. Curren	Paym. Am
۱.	VWF967201	VWF967	MAT-VWF967	Corporate A	19288680	12/02/2015		VWFS				AUD	-7,000,000
•													
<u> </u>													<u> </u>
1 Item	Found												

Viewing the Holder List

To view the Holder List, right-click in the Corporate Actions screen and select View Holder List.

⊘ c	orporate Actions - A	CH020JM					
Corp	orate action: Un	derlying series:	Issuer:		Issuer represe	int	ativ
	Corporate Action	Complete	List Complete	State	Descriptio	n	U
	ABN20220091904			Active	CPN- ABN20)	AB
	ABN20220092224			Active	CPN- ABN20)	AB
	ABN20220092524			Active	CPN- ABN20)	AB
•	ABN20220092824			Active	CON. ABM20	Ì	AB
	ABN20220093134	Properti					AB
	ABN20220093434	View Hold					AB
	ABN20220101140	Ť	er Alternatives '				AB
	ABN20220101304	View Corp	orate Action Se	ttlement Instr	uctions		AB
	ABN20220101594	Select All					AB
	ABN20220101904	Сору					AB
	ABN20220102214	Sort By					AB

This displays the Corporate Action Holder List screen.

🚫 Co	rporate Actior	1 Holder List - A	CHO20JM					×
Corpo	orate action: A	BN2022007190402	24135	Reco	rd date: 23	/07/2007	List completed: No	
	Sub Participant	Sub Account	Volume	Alternative	Benefit			-
•	HKBN21	HOUSE	55,800,0 1		1			
Ready								//

To view the details for an individual corporate action, right-click and select Properties.

🚫 Ca	rporate Actio	n Holder List - A	CHO
Corp	orate action: A	BN202200928240	2957.
	Sub Participan	t Sub Account	V
	цирмон	HOUSE	55,
	Properties	l N I	Í
	Update Volu	nes 🔨	
	Nominate Alt	ernative	
Ready	Refresh	F5	
	- L - L - H		

This displays the Corporate Action screen for the selected corporate action.

Corporate Act	ion: a	ABN202200	9282402	9574				_ [
₽_					Manufa ak	ions close date:		
- General		_					29/10/2009	
Corporate action:		ABN20220	092824029	574		day convention:	Next	
Description:		CPN- ABN	202 2009-1	0-30	Addition	al comment:		
Event:		CPN-ABN2	:02		🖃 Stat	e		
Underlying series:	nderlying series:				State:		Active	
Issuer:					System	message:		
Issuer representati	suer representative:							
128F exempt:								
Complete:		No						
Request confirmation	n:	Yes						
Mandatory:		Yes						
 Benefits 								
Benel	it	Operat	ion Type	Settlemer	nent Date	Amount	Yield (%)	
▶ 1		Coupon		30/	10/2009		0.000000000	0
Alternatives								
	_			_				
Id	1	Default Benef		:5				
-	8							

20.1.2 Viewing Only Corporate Actions from the Issuer Representative

The Corporate Actions screen displays the corporate actions for all issuer representatives.

To view only the corporate actions for only one Issuer Representative, enter the Issuer Representative code in the relevant search criteria field.

The system prevents the issuer from viewing the Holder Lists and Corporate Action Settlement Instructions of other Corporate Actions.

Corporate Action Settlement Instructions are available to confirm (instruct) after Booksclose (record date); i.e. on the settlement date.

All "Active" corporate actions automatically change to a state of "Inactive" on the settlement date. Therefore, to view individuals Corporate Actions via this screen on the settlement date, select "Inactive" in the "State" search criteria field before Search is clicked.

🚫 Corporate Acti	on Settlement I	nstructions -	ACH02095									_ 🗆 🗙
Corporate action:	Underlying serie	s: Underly	ring ISIN:	Issuer:	Issuer re	presentative:	Operation type Corporate Acti			5ub participant:		Search
Corporate A	ct Underlying Se	Event Ref. Co	Operation Ty	Settl. Instr. N	Settlement D	Series	Issuer	ISIN	Volume	Sub Account	Paym. Curren	Paym. Amou
•												•
Ready												11.

To view corporate actions for a particular issuer:

1. Select Settlement>View Settlements>Corporate Action Settlement Instructions.

This displays the *Corporate Action Settlement Instructions* screen and displays all the corporate actions for the day.Specify search criteria, and click **Search**.

This displays current corporate action settlement instructions.

Confirm a Corporate Action

To confirm a corporate action, select the required corporate action, right-click and select

Instruct Underlying Obligation.

Corporate Action Settlement Instructions - ACH020JM									
Corp	orate action: Under	lying series:	Underlying ISIN:	Is					
	Corporate Action	Underlying S	Se Event Ref. Co	Opera					
	ARTC042014281404	Properties		pupor					
	ARTC042014281404	Instruct Under	lying Obligation ⊾	pupor					
	ARTC042014281404	State History	h	S pupor					
	ARTC042014281404	Historical Modi	fication	pupor					
	ARTC042014281404			— pupo					
	ARTC042014281404	Select All		pupo					
	ARTC042014281404	Сору		pupo					
	ARTC042014281404	Sort By		pupor					
	ARTC042014281404	Column Setting	js	pupor					
	ARTC042014281404	Export to File.		pupor					
	ARTC042014281404	Print		pupor					
	ARTC0420142814048	37 ARTC04	CPN-ARTC04	Coupor					
	ARTC0420142814048	37 ARTC04	CPN-ARTC04	Coupor					

	This displays a d	dialoque box to	confirm the	settlement instruction.	Click Yes to confirm.
--	-------------------	-----------------	-------------	-------------------------	------------------------------

EXIGO	
	Confirm instructing settlement instruction 16649586's obligation 16055007. Source ref.: CCAL042014294401808 Event ref. code: CPN-CCAL04
Act for:	ACHO20
	Yes No

• Viewing an Individual Corporate Action

To view an individual corporate action, select the required corporate action, right-click and select Properties.

Corporate Action Se	tlement Instructions -	ACHO20JM
Corporate action: Und	erlying series: Underly	ing ISIN: Is:
Corporate Actio	n Underlying Se Even	t Ref. Co Operat
ARTC04201428140	Properties	pupon
ARTC04201428140	Instruct Underlying Obli	pupon
ARTC04201428140	State History	pupon
ARTC04201428140	Historical Modification	pupon
ARTC04201428140		pupon
ARTC04201428140	Select All	pupon
ARTC04201428140	Сору	pupon
ARTC04201428140	Sort By	pupon
ARTC04201428140	Column Settings	pupon
ARTC04201428140	Export to File	pupon
ARTC04201428140	Print	pupon
ARTC04201428140	837 ARTCO4 CPN-A	RTC04 Coupon
ARTC04201428140	837 ARTCO4 CPN-A	RTC04 Coupon

This displays the Settlement Instruction screen listing the Settlement Instruction details.

🐹 Sel	ttlement Instructio	n: 16649586						_ 🗆 ×
₽.								
🖃 Pu	ıblic Details			Internal	comment:			_
Settl. i	nstruction no.:	16649586		Created	i by:	EXIGOS	CHEDULER	
Sub pa	articipant:	CORS20		Creation	n time:	13/11/2	014 4:00:35 AM	
Counte	erpart:	CORS20		Created	at workstation:	172.20	.197.64	
Settler	ment date:	13/11/2014		Authori	sed by:			
State:		Matched		Authoris	sation time:			
Operal	tion type:	Corporate A	ttion	Authoris	sed at workstatio	on:		
Transa	action type:	Gross Corpo	orate Action	🖃 Seti	lement Obligatio	n		
Messa	ge type:	Payment Ve	rsus Nothing	Settl. of	ligation no.:	160550	07	
Counte	erpart ref.:			Settl. of	ol. group state:	Not Rea	ady	
Settler	nent method:			Securitie	es locked in:			
Public	comment:			Cash loo	:ked in:	No		
Source		Corporate 4	Action	Securitie	es confirmed:			
Source	ref.:	CCAL04201	4294401808	Paymen	t confirmed:	No		
Accept	:/Reject:							
Matchi	ng settl. no.:							
Count	erpart comment:							
🖃 In	ternal Details							
Overri	de sub account priority	Priority						
Overri	de cash record priority	: Priority						
Confiri	med:	~						
Instru	:ted:	$\overline{\lor}$						-
🖃 Sei	curity Instruction							
	+/-	Series	Volume	Price	Sub Account	Priority		
🖃 Pag	yment Instruction							
	+/-	Amount	Currency	Cash Record				
•	-	3,187,500.00	AUD	084-004-47	Active			

20.1.3 Viewing Only Corporate Action Settlement Instructions for a Particular Settlement Day

The system creates one gross Corporate Action Settlement Instruction per series for Issuer Representatives to confirm (instruct).

To view only the Corporate Action Settlement Instructions waiting to be confirmed on the settlement day, open the *Corporate Action Settlement Instructions* screen and select **Corporate Action** in the *Operation Type* search criteria field.

The system also creates underlying Corporate Action Settlement Instructions for the individual Maturity, Coupon and Redemption payments to each Holder.

For each Coupon Corporate Action, the system displays two settlement instructions. The first instruction displays a credit (+) payment amount to the Holder and the second instruction displays a debit (-) payment amount to the Issuer Representative.

For each Maturity Corporate Action, the system displays four settlement instructions. The first set of instructions relate to the removal of the securities from the Holders portfolio while the second set of instructions display a credit (+) payment amount to the Holder and a debit (-) payment amount to the Issuer Representative.

To view the underlying payment instructions to each Holder, select Maturity, Coupon or Redemption in the *Operation Type* search criteria field.

On confirmation, the state of the gross Corporate Action Instruction changes to **Completed** and the state of the individual underlying instructions changes to **Settled**.

All Coupon, Maturity and Redemption proceeds are payable on an Irrevocable (I) settlement basis only.

To view only Corporate Action Settlement Instructions for a particular settlement day:

1. Select Administration>Monitor>Corporate Action Execution. This displays the Monitor

Corporate Action Execution screen.

2. Specify search criteria, and click **Search**.

This displays the execution states for the specified settlement day.

Select the required corporate action to display the details in the right frame.

Issuer representatives can instruct (confirm) their corporate action payments by right-clicking on the required corporate action and selecting **View Corporate Action Settlement Instructions**.

Monitor Corporate Action Execution - ACH020JM											
View: No Grouping Search: Settle	ement D)ate 💌	From:	29/10/2014	•	To:	29/10/2				
Planned (0)		Corporate	Action	No. of Settlem	State						
Holder List Created (0)	•	AR1	-								
Settlement Instruction Created (0)	-	AD1	Corpora	te Action Settlen	ent Instruc		<u> </u>				
Preparing For Settlement (2)							*0				
Currently Executing (0)											
Successfully Executed (0)											
Failed (0)											

This displays the *Corporate Action Settlement Instructions* screen for the specific Issuer Representative with Corporate Action Settlement Instructions for the current business day. It also displays the current settlement state for each corporate action.

Note: The Monitor Corporate Action Execution screen is available to the Issuer Representative only.

The states displayed in the left frame of the Monitor Corporate Action Execution screen are defined as follows:

State	Definition
Planned	Equal to Automatic Days. The number of days prior to Booksclose (record date) the system creates the summary corporate action.
Holder List Created	Holder List is created for the corporate action on record date.
Settlement Instruction Created	Settlement Instructions are created after record date.
Preparing For Settlement	Settlement Instructions are waiting to be confirmed (instructed) on the settlement day.
Currently Executing	Settlement Instructions have been confirmed (instructed) but are waiting for RTGS processing.
Successfully Executed	Settlement Instructions have successfully settled.
Failed	Settlement Instructions have failed to settle or were not confirmed (instructed).

20.1.4 Viewing, Downloading and Printing Reports

Reports are available at the start of each business day as a result of overnight processing for DSS Maturity, FIS Coupon, Redemption and Maturity Corporate Actions. The reports available differ for issuers of discount securities and issuers of FIS.

20.1.5 Issuers of Discount Securities Reports

The following reports are available:

- Place Payable Maturity Report
- Issuer Representative's Holding Report
- Issuer Representative's Turnover Report
- Issuer Representative's DSS Maturities Payments Report.
 - Place Payable Maturity Report

The Place Payable Maturity Report displays details on the Maturity date of all maturing immobilised DSS securities that are payable on the day. The format of this report is PDF only.

Issuer Representative's Holding Report

The Issuer Representative's Holding Report lists all sub participants who hold a particular Issuers securities and how much of that security they hold. The format of this report is PDF only.

Issuer Representative's Turnover Report

The Issuer Representative's Turnover Report lists all completed trades involving a particular Issuer's securities. The format of this report is PDF only.

Issuer Representative's DSS Maturities Payments Report

The Issuer Representative's DSS Maturities Payments Report details all DSS securities that are due to mature on the current business day and who the beneficial owner of those securities is, including the maturity amount that will be paid. The format of this report is PDF and CSV.

20.1.6 Issuers of Fixed Income Securities

The following reports are available:

- Issuer Representatives Holding Report
- Issuer Representatives Turnover Report
- Issuer Representatives Record Date Report
- Issuer Representatives 1st Run FIS Payments Report
- Issuer Representatives 2nd Run FIS Payments Report.
 - Issuer Representatives Holding Report

The Issuer Representatives Holding Report lists all sub participants who hold a particular Issuer's securities and how much of that security they hold. The format of this report is PDF only.

Issuer Representatives Turnover Report

The Issuer Representatives Turnover Report lists all completed trades involving a particular Issuer's securities. The format of this report is PDF only.

Issuer Representatives Record Date Report

The Issuer Representatives Record Date Report lists all participants who hold a particular Issuer's securities at record date and how much income is due. The format of this report is PDF only.

Issuer Representatives 1st Run FIS Payments Report

The Issuer 1st Run FIS Payments Report details for Issuer representatives who they will be paying coupon and maturity payments to for the current business day. The format of this report is PDF and CSV.

Issuer Representatives 2nd Run FIS Payments Report

The Issuer Representatives 2nd Run FIS Payments Report details for Issuer Representatives who they will be paying coupon, maturity and redemption payments to for the current business day. This report is available after 2:00pm daily. The format of this report is PDF and CSV.

To print reports:

- 1. Select View>Reports>Explore. This displays the Reports screen.
- 2. Specify the search criteria and click **Search**.
- 3. Select a report to download.
- 4. Right-click and select **Download**.

This displays the Reports screen containing the reports available for the current business day.

arch Tree		Report Date	Batch Na	me	Participant	Report Name	Format	Empty	Loaded	Printe
	1	4/11/2014	AfterBusi		ACH020	AssistedEntry	PDF	V		_
Report Date:		4/11/2014		ess	ACHO20	ChangesToAuditedTables	PDF			
		4/11/2 Previs		ess	ACHO20	CSDUserList	PDF			
4/11/2014		4/11/2 Down		ess	ACHO20	RBABeneficialOwnersSummaryFile	CSV			
_		4/11/2	•	ess	ACHO20	WeeklyTurnoverStatistics	PDF			
Participant:		4/11/2 Prope	rties	ess	ACHO20	SimultaneousLogons	PDF			
		4/11/2014	AfterBusi	ness	ACHO20	SecurityDetails [GLOBAL]	PDF			
ACHO20		4/11/2014	AfterBusi	ness	ACHO20	SecurityDetails_CSV [GLOBAL]	CSV			
		4/11/2014	AfterBusi	ness	ACH020	WeeklyTurnoverStatistics_CSV	CSV			
Search		4/11/2014	AfterBusi	ness	ACH020	HoldingBreakdown	PDF			
Bearch		4/11/2014	AfterBusi	ness	ACHO20	SubAccountListing	PDF			
		4/11/2014	AfterBusi	ness	ACHO20	WeeklyTurnoverSecurityTypes [GLOBAL]	PDF			
		4/11/2014	AfterBusi	ness	ACH020	WeeklyTurnoverSecurityTypes_CSV [GLOBAL]	CSV			
		4/11/2014	AfterBusi	ness	ACHO20	WeeklyTurnoverIssuers [GLOBAL]	PDF			
		4/11/2014	AfterBusi	ness	ACHO20	WeeklyTurnoverIssuers CSV [GLOBAL]	CSV			

5. Right-click and select **Print** and/or **Print Preview**.

21 Viewing Corporate Actions for Holders

Corporate actions for holders provide the ability to view corporate actions relating to DSS and FIS.

21.1 Viewing DSS Maturity/FIS Coupon, Redemption and Maturity Corporate Actions

Corporate Actions for discount securities consist of maturity payments only. Corporate actions for FIS consist of coupon, redemption and maturity payments.

Maturity and coupon corporate actions are generated automatically by the system in the overnight recurring tasks, while redemption corporate actions are generated manually by the ASX Austraclear System after entry of the partial redemption values and interest and principal PPH.

DSS Instruments and FIS series that have matured are displayed in the *View Series* screen (Series>Series>View) until such time as they are deleted from the system by the CSD Administrator.

Corporate Actions can be viewed by selecting **Settlement>View Settlements>Corporate Action Settlement Instructions**. This displays the *Corporate Action Settlement Instructions* screen.

rate action: Underl	ying series: l	Underlying ISIN:	: Issuer:	Iss	uer representative	e: Operation	n 🎯 Sea
					I		
Corporate Action	Underlying Se			Settl. Instr. N	Settlement D	Series	Issuer
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Corporate A	16646436	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646437	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646438	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646439	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646440	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646441	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646442	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646443	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646444	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646445	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646446	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646447	29/10/2014		ARTC
ARTC0320142814056	18 ARTC03	CPN-ARTC03	Coupon	16646448	29/10/2014		ARTC
ARTC0320142814056	18 ARTCO3	CPN-ARTCO3	Coupon	16646449	29/10/2014		ARTC

All corporate action settlement instructions are displayed in this screen once they have been created after Booksclose (record date). This consists of one gross corporate action settlement instruction for each series, representing the total payment amount for that series and a number of underlying corporate action settlement instructions, representing the individual coupon, redemption and maturity payment amounts to each holder.

To view DSS maturity/FIS coupon, redemption and maturity corporate actions:

1. Select Settlement>View Settlements>Corporate Action Settlement Instructions. This

displays the Corporate Action Settlement Instructions screen.

2. Specify the search criteria, and click **Search**.

This displays the current corporate action settlement instructions.

- 3. Select the required corporate action.
- 4. Right-click and select **Properties**.

This opens the Settlement Instruction screen for the selected corporate action.

Settlement Instruction	: 16646437					
F_						
Public Details		Intern	al comment:	AMP520	HOUSE	
Settl. instruction no.:	16646437	Create	d by:	EXIGOS	CHEDULER	
Sub participant:	AMP520	Creati	on time:	29/10/2	014 4:00:32 AM	
Counterpart:	ACSL21	Create	d at workstation:	172.20.	197.64	
Settlement date:	29/10/2014	Autho	ised by:			
State:	Matched	Autho	isation time:			
Operation type:	Coupon	Autho	ised at workstatic	in:		
Transaction type:	Coupon Payment	🖃 Se	ttlement Obligatio	n		
Message type:	Payment Versus Nothing	Settl. (bligation no.:	1605195	54	
Counterpart ref.:	16051933	Settl.	bl. group state:	Not Rea	dy	
Settlement method:		Securi	ies locked in:			
Public comment:		Cash le	ocked in:			
Source:	Corporate Action	Securi	ies confirmed:			
Source ref.:	ARTC032014281405618	Payme	nt confirmed:	No		
Accept/Reject:						
Matching settl. no.:	16646438					
Counterpart comment:						
Internal Details						
Override sub account priority:	Priority					
Override cash record priority:	Priority					•
Security Instruction						
+/-	Series Volume	Price	Sub Account	Priority		
Payment Instruction						
+/-	Amount Currency	Cash Recor	d Priority			
	0.00 AUD	032-021-12	Active			

The system creates one gross corporate action settlement instruction per series for issuer representatives to confirm, and underlying corporate action settlement instructions for the individual maturity, coupon and redemption payments to each holder.

To view only the corporate action settlement instructions for underlying payments to the user as the holder, select "Maturity", "Coupon" or "Redemption" in the *Operation Type* search criteria field.

For each coupon corporate action, the system displays one settlement instruction which consists of a credit (+) payment amount to the holder for the proceeds of the coupon payment.

For each maturity corporate action, the system displays two settlement instructions. The first instruction relates to the removal of the securities from the holders portfolio while the second instruction displays a credit (+) payment amount to the holder for the proceeds of the maturity.

Maturity, coupon and redemption corporate action settlement instructions are created with a state of matched. On confirmation, the state of the individual underlying instructions changes to Settled.

All coupon, maturity and redemption proceeds are payable on an Irrevocable (I) settlement basis only.

21.2 Viewing, Downloading and Printing Reports for DSS/Maturity/FIS Coupon, Redemption and Maturity Corporate Actions

This functionality enables the viewing, downloading and printing of reports for corporate actions relating to DSS and FIS securities.

The Income Receivable Report is available for holders of DSS and FIS at the start of each business day as a result of overnight processing.

The *Income Receivable* Report displays income to be received on the current business day for coupon and maturity payments and any tax that will be withheld on coupon payments. The format of this report is PDF and CSV.

To view, download or print the report:

1. Select View>Reports>Explore.

The Reports screen is displayed.

🚫 AS>	(Aust	raclear [ACHO20]	M] TE	ST S	/STE
File	View	Sub Participants	Hold	ings	Tra
	<u>0</u>	lotes			
Defau	â <u>i</u> (Current <u>S</u> ession			
EXIGO :	Ē	leports	•		
	2	alendars			
	Ē	Authorisation Policy			
	0	Contact <u>D</u> etails			
<u>/</u> .	Speci	fy search criteria	and o	Click S	Searc

This displays the available reports for the current business day in the right frame of the screen.

- 3. Select the required report.
- 4. Right-click and select **Download**.

This downloads the report. A progress bar appears at the base of the screen and confirms when the download is complete. Once the download is complete the **Print** and **Preview** options can be selected from the right-click menu.

Ŀ	Reports				
	Search Tree		Rep	oort Date	Batch Name
			3/1:	1/2014	AfterBusiness
	Report Date:		3/1:	1/2014	AfterBusiness
			3/1:	1/2014	AfterBusiness
	3/11/2014 💌	•	3/1	Preview	siness
			3/1	Download	siness
	Participant:		3/1	Print	iness 🖓
			3/1		siness
	ACHO20		3/1	Properties	iness
			3/1:	1/2014	AfterBusiness
	Search		3/1:	1/2014	AfterBusiness
	bearding		3/1:	1/2014	AfterBusiness
			3/1:	1/2014	AfterBusiness

5. Right-click and select **Print** or **Preview** and print the report if required.

Once Print has been selected the report is displayed. Click Print to print the report.

	of a stress of	110000001000	1101000	porque/porque [geophie]		
	3/11/2014 AfterBusiness		ACHO20	SecurityDetails_CSV [GLOBAL]	CSV [
	3/11/2014	AfterBusiness	ACHO20	WeeklyTurnoverStatistics_CSV	CSV [
	3/11/2014	AfterBusiness	ACHO20	HoldingBreakdown	PDF [
	3/11/2014	AfterBusiness	ACHO20	SubAccountListing	PDF [
	3/11/2014	AfterBusiness	ACHO20	WeeklyTurnoverSecurityTypes [GLOBAL]	PDF [
	3/11/2014	AfterBusiness	ACHO20	WeeklyTurnoverSecurityTypes_CSV [GLOBAL]	CSV [
	3/11/2014	AfterBusiness	ACHO20	WeeklyTurnoverIssuers [GLOBAL]	PDF [
	3/11/2014	AfterBusiness	ACHO20	WeeklyTurnoverIssuers_CSV [GLOBAL]	CSV [
	3/11/2014	RoleAllocation	ACHO20	RoleAllocation [ACHO]	PDF [
	3/11/2014	3/11/2014 RoleAllocation		RoleAllocation_CSV [ACHO]	CSV [
•	3/11/201 Pre	view	ACHO20	GrantedProxyAccess [ACHO]	PDF	
	0/11/001	wnload P	ACHO20	GrantedProxyAccess_CSV [ACHO]	CSV [
	3/11/20: Prin		ACHO20	ReceivedProxyAccess [ACHO]	PDF [
	3/11/20:		ACHO20	ReceivedProxyAccess_CSV [ACHO]	CSV [
	3/11/20: Pro	perties n	ACHO20	ProxyUserRole [ACHO]	PDF [
	3/11/2014	RoleAllocation	ACHO20	ProxyUserRole_CSV [ACHO]	CSV [
4						
-						-
Comp	leted GrantedPro>	(yAccess [ACHO]				Π



Austraclear Limited ABN:94 002 060 773 RECEIVED PROXY ACCESS REPORT Business Date: 03-Non-2014 Participant Code: ACHO - Austraclear Limited Head Office

Page 1 of 1 13-Nov-2014 18:24:39

Sub Participant	Proxy User	User	First Name	Last Name	
ACHO	PU_ACHO20_ACHO	ACH02001	System Admin	10	
ACHO	PU_ACHO20_ACHO	ACHO20AG	Amber	Glynn	
ACHO	PU_ACHO20_ACHO	ACHO20BP	Brendan	Laird	
ACHO	PU_ACHO20_ACHO	ACH020GZ	George	Ziogas	
ACHO	PU_ACHO29_ACHO	ACHO20MC	Michael	Carroll	
ACHO	PU_ACHO20_ACHO	ACH020RS	Renee	Service	
ACHO	PU_RBAA25_DM	ACH02001	System Admin	-	
ACHO	PU_RBAA25_DM	ACH020AG	Amber	Glynn	
ACHO	PU_RBAA25_DM	ACH020BP	Brendan	Laird	
ACHO	PU_RBAA25_DM	ACH020GZ	George	Ziogas	
ACHO	PU_RBAA25_DM	ACHO20MC	Michael	Carroll	
ACHO	PU_RBAA25_DM	ACHO20RS	Renee	Service	
ACHO20	PU_ACHO_ACHO20	ACHO2035	Michael	Carroll	
ACHO20	PU_ACHO_ACHO20	ACH02036	Gilbert	Francia	
ACHO20	PU_ACHO_ACHO20	ACHO2079	WAYNE	JORDAN	
ACHO20	PU_ACHO_ACHO20	ACH02093	Chris	Ting	
ACHO20	PU_ACHO_ACHO20	ACH02096	Tiffany	Hu	
ACHO20	PU ACHO ACHO20	ACHOOMXI	omagroup	test user	

18 records returned.

*** End Of Report ***

22 Viewing Trade Settlement Details

This functionality enables trade details to be viewed.

The generic viewing process for all products is detailed below. Where there are additional viewing functions, the details have been specified by product.

Trades waiting to be settled appear in the Settlement Instructions screen in a state of Matched and in the Settlement Obligations screen in a state of Not Settled.

Once the settlement process has commenced transactions change to a state of Payment Pending

indicating they are waiting for RTGS processing.

Upon completion of settlement, transactions assume a state of Settled and the Cash Records of both parties are updated.

All View screens e.g. View Trades, View Settlement Instructions are archived for a period of 90 days. When entering search criteria users may backdate the Settlement Date/s to view the details of historical transactions.

22.1 Viewing Details of a Single Trade

To view details of a single trade:

- 1. Select **Trades>View Trades**.
- 2. Specify search criteria and click Search. This displays all the users' relevant trades.
- 3. Select the required transaction.
- 4. Right-click and select Show Counterpart Trade, View Settlement Instruction, View Trade History or Properties.

This displays the details of the trade.

🚫 Vie	w Trades - AC	HO2095		
State	e: Seri	es:	ISI	4:
Settl	ed 🔽			
	Trade No	Version		ISIN
•	6346	4	AUDO	00000009
	Properties			0000009
	Authorise Trac	le		0000009
	Bulk Authorise	Trade		0000009
	View Trade His	tory		
	Cancel Trade,			
	Confirm/Reject	: Cancel Trade, ,		
	Show Counter	part Trade		
	View Settlemer	nt Instruction		
	Confirm/Reject	: Trade,		
	Print Confirma	tion Letter		
	Split Trade			
	View Second L	egs,,,		
	Unwind Trade,			
	Bulk Unwind Tr	ade		
	Reneg Trade,,	,		
	View First Leg.			
	View Reneg/Ur	nwinds		

22.2 Generic Viewing of Settlement Details for Trades

22.2.1 Viewing Daily Settlement Instructions

To view settlement details for trades settling on a particular day:

- 1. Select Settlement>View Settlements>Settlement Instructions. This displays the
 - Settlement Instructions screen.

- 2. Select **Matched** from the *State* pull-down menu.
- 3. Specify search criteria and click **Search**.

This displays the details for transactions being settled on the specified date.

Stat	e: Series:	ISIN:	Sul	o participant: 👘	Counterpart:	Settlement da	ate:
Mat	ched					☑ 14/11/201	4 💌
	Transaction Type	Settl. Instr. No.	State	Sub Participa	Counterpart	Paym. Curren	Pay
►	Coupon Payment	16649777	Matched	TMBL20	ESFT20	AUD	
	Coupon Payment	16649778	Matched	ESFT20	TMBL20	AUD	
	Coupon Payment	16649780	Matched	CBAA2S	ACSL21	AUD	
	Coupon Payment	16649781	Matched	ACSL21	CBAA2S	AUD	
	Coupon Payment	16649782	Matched	CITI35	ACSL21	AUD	
	Coupon Payment	16649783	Matched	ACSL21	CITI35	AUD	
	Coupon Payment	16649784	Matched	CMNL20	ACSL21	AUD	
	Coupon Payment	16649785	Matched	ACSL21	CMNL20	AUD	
	Coupon Payment	16649786	Matched	DEUT20	ACSL21	AUD	
	Coupon Payment	16649787	Matched	ACSL21	DEUT20	AUD	

22.2.2 Viewing Daily Settlement Obligations

To view settlement obligations created by the system for all trades settling on a particular day:

1. Select **Settlement>View Settlements>Settlement Obligations**. This displays the

Settlement Obligations screen.

2. Specify search criteria and click **Search**.

This displays the settlement obligations for the specified settlement date.

ttle	ment date: 14	11/2014 💌	Date actual:	•	Sub pa	rticipant:		Source:		View fill	er: Security D	w 🎯 🕒	Search
	Obligation No.	Obligation State	Settlement Date	Sub Participan	Series	Volume	Sub Account P	Security Locke	Securities Con	Obligation Gro	Obligation Gro	Time Actual	S
	16055210	Not Settled	14/11/2014	ESFT20						7608171	Not Ready	12:00:00 AM	Corpo
	16055211	Not Settled	14/11/2014	ACSL21						7608172	Not Ready	12:00:00 AM	Corpo
	16055212	Not Settled	14/11/2014	GTAL8A						7608173	Not Ready	12:00:00 AM	Corpo
	16055213	Not Settled	14/11/2014	CMFS20						7608174	Not Ready	12:00:00 AM	Corpo
	16055214	Not Settled	14/11/2014	GTAL8A						7608175	Not Ready	12:00:00 AM	Corpo
	16055215	Not Settled	14/11/2014	PNOM2I						7608176	Not Ready	12:00:00 AM	Corpo
	16055216	Not Settled	14/11/2014	TORW20						7608177	Not Ready	12:00:00 AM	Corpo
	16055223	Ready To Settle	14/11/2014	TMBL20						7608184	Not Ready	12:00:00 AM	Corpo
	16055224	Waiting In Queue	14/11/2014	ESFT20						7608184	Not Ready	12:00:00 AM	Corpo
	16055225	Ready To Settle	14/11/2014	CBAA25						7608185	Not Ready	12:00:00 AM	Corpo
	16055226	Waiting In Queue	14/11/2014	AC5L21						7608185	Not Ready	12:00:00 AM	Corpo
	16055227	Ready To Settle	14/11/2014	CITI35						7608186	Not Ready	12:00:00 AM	Corpo
	16055228	Waiting In Ouene	14/11/2014	ACSI 21						7608186	Not Deady	12-00-00, M	Corpo

22.2.3 Viewing Cash Record Balance

To view the cash record balance after settlement has completed:

- 1. Select Sub Participants>Cash Records>View. This displays the Cash Records screen.
- 2. Specify search criteria and click **Search**.

The cash records are displayed.

- 3. Select the required cash record.
- 4. Right-click and select View Cash Record Transactions For Owner/Provider.

sh	record:	Cas	h record owner:	Ca	sh provider:	(Eurrency:	
							- 3	Search
	Cash Record	Currency	Cash Record	Cash Provider	Cash Limit	Temp. Adjust	Reservations	Balance
	000-111-12	Delete			D,000,000,	0.00	0.00	0.00
	003-000-0	Properties As C)wner		0.00	0.00	0.00	0.00
	003-000-M	Properties As P			0.00	0.00	0.00	0.00
	003-000-R1		ord Transactions	For Owner	,999,999,9	0.00	0.00	0.00
	007-000-0			For Provider	0.00	0.00	0.00	0.00
	007-000-M	Assign / Unassi		10111011001	0.00	0.00	0.00	0.00
	007-000-R1		nd Description		,999,999,9	0.00	0.00	0.00
	007-000-R1		ia bescription in		-			
	007-000-R1	Select All						
	008-000-M	Сору			0.00		0.00	0.00
	008-000-R1	Sort By			0.00		0.00	0.00
	008-000-R1	Column Setting	s					
	008-000-R1	Export to File						
	008-000-R1	Print						
	008-000-RT	AUD	SFEC20	ASXC2B				

5. Select the date range and click **Search**.

This displays the transactions for the cash record.

Sub Participa Amount Settl. Date Settl. Time Ac. Cash Record Obligation Sta SFEC20 -1.00 14/04/2015 9:95 AM Active Settled SFEC20 1,000.00 14/04/2015 9:55 AM Active Settled SFEC20 1,000.00 14/04/2015 9:55 AM Active Settled SFEC20 13,000.00 15/04/2015 7:15 AM Priority Settled SFEC20 1,000,000.00 15/04/2015 6:42 PM Priority Settled ASX:20 4,000,000.00 15/04/2015 6:42 PM Priority Settled SFEC20 1,078,730.00 15/04/2015 2:56 PM Active Settled SFEC20 1,078,730.00 16/04/2015 2:56 PM Active Settled SFEC3 1,078,730.00 16/04/2015 2:56 PM Active	SFEC SFEC	. 20	Amount				 Obligation s 	cace. j	-			
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	unterpar	ransactio		Settlement dat	:e from: 🗵 15	/04/2015 💌		1 milest				Searc
	unterpar	ransactio rt:	Sub Participa	Settlement dat Counterpart	e from: 🗵 15, Operation Ty	/04/2015 💌 Amount	Settl. Date	Settl. Time Ac	Cash Record	Obligation Sta	Transaction T	Searc
16696574 SFEC20 ACSL21 Normal -1,051,630.00 15/04/2015 2:56 PM Active Settled Market Repo	unterpar	ransactio rt: ttl. Instructi 16695312	Sub Participa SFEC20	Settlement dat Counterpart RBAAIM	e from: 15 Operation Ty Coupon	/04/2015 💌 Amount 31,250.00	Settl. Date 15/04/2015	Settl. Time Ac 7:15 AM	Cash Record Priority	Obligation Sta Settled	Transaction 1 Coupon Pay	Searc
	unterpa	ransactio rt: 16695312 16696186	Sub Participa SFEC20 SFEC20	Settlement dat Counterpart RBAAIM RBAAIM	Coupon Maturity Pay	/04/2015 Amount 31,250.00 1,000,000.00	Settl. Date 15/04/2015 15/04/2015	Settl. Time Ac 7:15 AM 6:42 PM	Cash Record Priority Priority	Obligation Sta Settled Settled	Transaction 1 Coupon Pay Maturity Pay	Searc
	unterpar	ransactio rt:	Sub Participa SFEC20 SFEC20 SFEC20 SFEC20	Settlement dat Counterpart RBAAIM RBAAIM	Coupon Maturity Pay	/04/2015 Amount 31,250.00 1,000,000.00	Settl. Date 15/04/2015 15/04/2015 15/04/2015	Settl. Time Ac 7:15 AM 6:42 PM 2:56 PM	Cash Record Priority Priority Active	Obligation Sta Settled Settled Settled	Transaction 1 Coupon Pay Maturity Pay	Searc
16697158 SFEC20 ACSL21 Normal 1,078,730.00 16/04/2015 2:56 PM Active Settled Market Repo	unterpa	ransactio rt: 16695312 16696186 16696574 16696613	Sub Participa SFEC20 SFEC20 SFEC20 SFEC20 SFEC20	Settlement dat Counterpart RBAAIM RBAAIM ACSL21 ACSL21	Couperation Ty Coupen Maturity Pay Normal Normal	Amount 31,250.00 1,000,000.00 -1,051,630.00 1,052,335.89	Settl. Date 15/04/2015 15/04/2015 15/04/2015 15/04/2015	Settl. Time Ac 7:15 AM 6:42 PM 2:56 PM 3:44 PM	Cash Record Priority Priority Active Active	Obligation Sta Settled Settled Settled Settled	Transaction 1 Coupon Pay Maturity Pay Market Repo Market Repo	
	unterpa	ransactio rt:	Sub Participa SFEC20 SFEC20 SFEC20 SFEC20	Settlement dat Counterpart RBAAIM RBAAIM ACSL21	e from: 15, Operation Ty Coupon Maturity Pay Normal	/04/2015 Amount 31,250.00 1,000,000.00 -1,051,630.00	Settl. Date 15/04/2015 15/04/2015 15/04/2015	Settl. Time Ac 7:15 AM 6:42 PM 2:56 PM	Cash Record Priority Priority Active	Obligation Sta Settled Settled Settled	Transaction 1 Coupon Pay Maturity Pay Market Repo	Sean
	unterpa	ransactio rt: 16695312 16696186 16696574 16696613	Sub Participa SFEC20 SFEC20 SFEC20 SFEC20 SFEC20	Settlement dat Counterpart RBAAIM RBAAIM ACSL21 ACSL21	Couperation Ty Coupen Maturity Pay Normal Normal	Amount 31,250.00 1,000,000.00 -1,051,630.00 1,052,335.89	Settl. Date 15/04/2015 15/04/2015 15/04/2015 15/04/2015	Settl. Time Ac 7:15 AM 6:42 PM 2:56 PM 3:44 PM	Cash Record Priority Priority Active Active	Obligation Sta Settled Settled Settled Settled	Transaction 1 Coupon Pay Maturity Pay Market Repo Market Repo	Sean

22.3 Product Specific Viewing of Settlement Details

22.3.1 CASH, Market Repos, ACH Margins, ASX Clear (Futures) and ASX Margins

To view settlement details of a single trade:

- 1. Select Settlement>View Settlements>Settlement Instructions. This opens the Settlement Instructions screen.
- 2. Specify search criteria, and click **Search**.

This displays the settlement instructions for all cash transfers settling for the current day.

- 3. Select the required transaction.
- 4. Right-click and select Properties, State History or Historical Modifications.

This displays the details for the selected transaction.

🚫 Set	ttlement Insti	uctions - ACHO	20JM		
State:	•	Series:	ISIN:	Sub particip	ant: Counte
	Transaction T	Settl. Instr. No.	State	Sub Participa	Counterpart
•	Coupon Pay Coupon Pay	Properties		<u> </u>	
	Coupon Pay	State History Historical Modifi	ications	43) D
	Coupon Pay	Historical Modifi	icacions		
	Coupon Pay	Accept/Reject	-		þ
•	Coupon Pay	Accept Bulk Tra Substitute	nsfer Holding		D

Selecting *Properties* displays the *Settlement Instruction* screen with the settlement instruction details for the selected transactions

🜠 Se	ttlement Instructi	on: 16649777						_ 🗆 ×
₽ <mark>.</mark>								
🖃 Pi	ublic Details			Internal	comment:	TMBL20 HC	USE	<u> </u>
Settl. i	instruction no.:	16649777		Created	l by:	EXIGOSCH	EDULER	
Sub pa	articipant:	TMBL20		Creation	n time:	14/11/201	4 4:00:38 AM	
Count	erpart:	ESFT20		Created	at workstation:	172.20.19	7.64	
Settler	ment date:	14/11/2014		Authoris	ed by:			
State:		Matched		Authoris	ation time:			
Opera	tion type:	Coupon		Authoris	ed at workstatio	on:		
Transa	action type:	Coupon Pay	ment	🖃 Sett	lement Obligatio	n		
Messa	ge type:	Payment Ve	ersus Nothing	Settl. of	ligation no.:	16055223		
Count	erpart ref.:	16055210		Settl. of	ol. group state:	Not Ready		
Settler	ment method:			Securitie	es locked in:			
Public	comment:			Cash loo	ked in:			
Source	e:	Corporate #	Action	Securitie	es confirmed:			
Source	eref.:	EDSE02201	4304406511	Paymen	t confirmed:	No		
Accept	t/Reject:							
Matchi	ing settl. no.:	16649778						
Count	erpart comment:							
	ternal Details							•
- Se	curity Instruction							
	+/-	Series	Volume	Price	Sub Account	Priority		
🖃 Par	yment Instruction							
	+/-	Amount	Currency	Cash Record	Priority			
▶	+	0.00	AUD	082-057-12	Active			

Selecting State History displays the state of the settlement object.

	State	Settlement Object
Ī	Unmatched	Settlement Instruction
	Matched	Settlement Instruction
ĺ	Not Settled	Settlement Obligation
	Not Ready	Settlement Obligation Group
	Waiting In Queue	Settlement Obligation
Î	Ready To Settle	Settlement Obligation

Selecting Historical Modifications displays the instruction that was modified and by which user.



22.3.2 DSS/FIS

To view holdings:

1. Select Holdings>View Holdings. This displays the Holdings screen.



2. Enter search criteria, and click **Search**.

All holdings are displayed for the specified search criteria.



22.4 RBA Repos

For information on the RBA Repos field descriptions, see Appendix 16 – RBA Repos Field Descriptions.

22.4.1 Viewing Details of a Single RBA Repo

To view details of a single RBA Repo:

1. Select Trades>View RBA Repos.

The RBA Repos screen is displayed in the Open view. Unauthorised and Historical can also be selected if required.

View:	Open	💌 Sub p	oarticipant/Counterp	art:		Sea	irch
	Open Unauthorised Historical	đ SIN	Reference Pric	Volume	Issuer	Full Name Iss	Payn

2. Specify search criteria and click **Search**.

This displays all the relevant RBA Repos for the user.

3. Select the required transaction.

4. Right-click and select either View Details or Show Cash Totals.

An open RBA Repo trade is one that appears as an *Open* contract in the *View RBA Repos* screen. Note that a RBA Repo cannot be open until the first leg has settled (Original Settlement Date).

If the second leg is not closed intra-day, the Settlement Date becomes the Expected Settlement Date.

If the Expected Settlement Date passes and the RBA Repo has not been closed out, the Original Settlement Date is overwritten with the new Expected Settlement Date.

22.4.2 Viewing Settlement Details of an RBA Repo

To view settlement details of an RBA Repo:

1. Select Settlement>View Settlements>Settlement Instructions. This displays the

Settlement Instructions screen.

2. Specify search criteria, and click **Search**.

This displays the settlement instructions of all RBA Repos settling the specified date.

- 3. Select the required transaction.
- 4. Right-click and select **Properties**, **State History** or **Historical Modifications**. This

displays the details of the trade.

🚫 Se	ttlement Instr	uctions - ACHO	20JM	
State:	•	Series:	ISIN:	Sub p
	Transaction T	Settl. Instr. No.	State	Sub Parti
•	Coupon Pay	Properties		N
	Coupon Pay	State History		N
	Coupon Pay	Historical Moc	lifications	-
	Coupon Pay	- Historicannoc	Inteletions	
	Coupon Pay	Accept/Rejec	t Pledge	
	Coupon Pay	Accept Bulk T	ransfer Holding	
		Substitute		

Selecting **Properties** displays the Settlement Instruction screen where settlement details are displayed.

🜠 Set	tlement Instructi	on: 16652425	5					_ 🗆 🗵
e.								
🖃 Pu	ıblic Details			Created	by:	EXIGOS	CHEDULER	_
Settl. i	nstruction no.:	16652425		Creation	time:	20/11/2	014 7:00:03 AM	
Sub pa	rticipant:	CMFS20		Created	at workstation:	172.20.	197.64	
Counte	erpart:	ACLR20		Authoris	ed by:			
Settlen	nent date:	20/11/2014	ł	Authoris	ation time:			
State:		Settled		Authoris	ed at workstati	on:		
Operat	tion type:	Adjust Issu	e Balance	🖃 Sett	lement Obligatio	n		
Transa	iction type:	Adjust Issu	e Balance	Settl. ob	ligation no.:	1605730)8	
Messag	ge type:	Free Of Pa	yment	Settl. da	te actual:	20/11/2	014	
Counte	erpart ref.:			Settl. ob	l. group state:	Settled		
Settlen	nent method:	RTGS		Settl. tin	ne actual:	7:00 AM		
Public (comment:			Securitie	s locked in:	Yes		
Source	:	CSD		Cash loc	ked in:			
Source	ref.:			Securitie	s confirmed:	Yes		
Accept	:/Reject:	0		Payment	: confirmed:			
Matchi	ng settl. no.:	16652426						
Counte	erpart comment:							
	ternal Details							•
🖃 Sec	urity Instruction							
	+/-	Series	Volume	Price	Sub Account	Priority		-
	-	WP2083	666,000,000		ISSUERACC	Active		-
🖃 Pay	ment Instruction							
	+/-	Amount	Currency	Cash Record	Priority			

Selecting State History displays the State History screen with the state of settlement objects.

Matched Settlement Instruction Not Settled Settlement Obligation Not Ready Settlement Obligation Group Settled Settlement Instruction Settled Settlement Instruction Set Securities Locked In Settlement Obligation Waiting In Queue Settlement Obligation Ready To Settle Settlement Obligation Securities Confirmed Settlement Obligation Settled Settlement Obligation Settled Settlement Obligation Settled Settlement Obligation		State	Settlement Object
Not Ready Settlement Obligation Group Settled Settlement Instruction Set Securities Locked In Settlement Obligation Waiting In Queue Settlement Obligation Ready To Settle Settlement Obligation Securities Confirmed Settlement Obligation Settled Settlement Obligation Ready To Settle Settlement Obligation Ready To Settle Settlement Obligation Ready To Settle Settlement Obligation	•	Matched	Settlement Instruction
SettledSettlement InstructionSet Securities Locked InSettlement ObligationWaiting In QueueSettlement ObligationReady To SettleSettlement ObligationSecurities ConfirmedSettlement ObligationSettledSettlement ObligationReady To SettleSettlement ObligationSettledSettlement ObligationReady To SettleSettlement Obligation		Not Settled	Settlement Obligation
Set Securities Locked In Settlement Obligation Waiting In Queue Settlement Obligation Ready To Settle Settlement Obligation Securities Confirmed Settlement Obligation Settled Settlement Obligation Ready To Settle Settlement Obligation Ready To Settle Settlement Obligation Settled Settlement Obligation Ready To Settle Settlement Obligation		Not Ready	Settlement Obligation Group
Waiting In Queue Settlement Obligation Ready To Settle Settlement Obligation Securities Confirmed Settlement Obligation Settled Settlement Obligation Ready To Settle Settlement Obligation Ready To Settle Settlement Obligation		Settled	Settlement Instruction
Ready To Settle Settlement Obligation Securities Confirmed Settlement Obligation Settled Settlement Obligation Ready To Settle Settlement Obligation Group		Set Securities Locked In	Settlement Obligation
Securities Confirmed Settlement Obligation Settled Settlement Obligation Ready To Settle Settlement Obligation Group		Waiting In Queue	Settlement Obligation
Settled Settlement Obligation Ready To Settle Settlement Obligation Group		Ready To Settle	Settlement Obligation
Ready To Settle Settlement Obligation Group		Securities Confirmed	Settlement Obligation
		Settled	Settlement Obligation
Settled Settlement Obligation Group		Ready To Settle	Settlement Obligation Group
bottion bottion congetion aroup		Settled	Settlement Obligation Group

Selecting Historical Modifications displays the Historical Modifications screen.



22.5 90 Day Bank Accepted Bills Contract Delivery

22.5.1 Contract Deliveries

In fulfilment of the 90 day Bank Accepted Bill (BAB) Contract, the Seller must deliver \$1,000,000 face value of BABs of Exchange or Electronic BABs of Exchange (EBA) \$1,000,000 face value of Bank Negotiable Certificates of Deposit (NCD) or Electronic Bank Negotiable Certificates of Deposit (ECD).

Each BAB or NCD tendered must be accepted or issued by the same approved bank, be payable at the same city branch of an approved bank (in Sydney, Perth, Melbourne, Brisbane or Adelaide) and have the same maturity date. In addition, each BAB tendered must have been drawn by the same drawer.

Any BAB or NCD tendered must have a maturity date no more than 95 days or less than 85 days from the settlement date, and must be "early" paper. Early paper refers to a bank bill that matures on business days between the 1st and 15th of the month.

ASX designates those banks which are known as approved banks for tendering purposes. The current list of approved banks is:

- Australia and New Zealand Banking Group Ltd
- BNP Paribas
- Commonwealth Bank of Australia
- National Australia Bank Limited
- Westpac Banking Corporation.

22.5.2 Viewing Bill Nomination Parameter and Periods

This functionality enables bill nominations and delivery rules to be viewed. The bill nomination and delivery rules are maintained by ASX Austraclear.

Bill Nomination Parameters

To view a list of bill nomination rules and a list of approved issuers, select **Trades>Bill Nominations>Display Rules>Parameters**.

This displays the Bill Nomination Parameters screen.

🖉 Bill Nomination Pa	arameters 🛛 🗙
Nomination lot size:	1,000,000
Min. unit face value:	1,000,000
From maturity (days) :	2
To maturity (days) :	365
Approved Issuer:	3
WPAC	
CBAA	
NABL	
ANZB	
Contra Cuto Class	
Series Sub Class	
EBA	
ECD	
BA	
0	

Bill Nomination Periods

To view the current bill nomination and delivery dates and times, select **Trades>Bill Nominations>Display Rules>Periods**.

This displays the Bill Nomination Period screen.

📓 Bill Nomination Period						
Nomination start date:	27/10/2014					
Nomination end time:	29/10/2014 7:55 PM					
Settlement date:	29/10/2014 9:00 PM					

22.5.3 Nominating BABs and Negotiable Certificates of Deposit for Delivery

This functionality enables the seller to nominate eligible securities for delivery in fulfilment of the 90 day BAB contract. The following rules apply for all nominations:

- The series sub class must be CD/ECD or BA/EBA
- The security must be held by the participant in their holdings within the ASX Austraclear system
- The security must not be pledged
- The unit face value (denomination) must be \$1,000,000
- The Issuer/Acceptor and the Place Payable on the security must be on the list of approved banks
- The number of days from settlement to maturity must be in the range 85 to 95 days inclusive and must be "early"; a bank bill that matures on business days between the 1st and 15th of the month.

All nominations must be entered by 5:00pm on the Thursday prior to settlement. Therefore, any BABs or CDs to be delivered must be in the delivering participant's ASX Austraclear System holdings prior to that time and nominated by that time.

Once a security has been nominated, the system places a reservation on the holding to indicate the nomination has settled.

22.5.4 Checking if Securities Eligible for Nomination are Held in the System

To check if securities eligible for nomination are held in the system:

- 1. Select Holdings>View Holdings. This displays the Holdings screen.
- 2. Select **DSS** from the Series Class pull-down menu.

Holdings - ACH	1020JM		
Holding date:	Sub account:	Series class:	Series
31/10/2014 👱		DSS	
Account types: Ho	olding, Lending Pool, Co	olla CUR DSS	aturity d
Sub Accou	nt Series	EQ FIS	lass
		113	

Select a From Maturity Date and a To Maturity Date if required.

To see the maturity dates select the down arrows next to Search.

🚫 Holdings - i	ACH02095							
Holding date:	Sub account:	Series class:	Series sub class:	Series:	ISIN:	Sub participant:	Issuer:	
20/04/2015		DSS	-			ACSL21		📀 Search
	Luther to be back		and the second second					
Account types:	Holding, Lending Pool, Co	Diateral 🔽 From	maturity date: 🔽 20/04		o maturity date:			
Sub Ac	count Series	ISIN	Series Clas	April 20	15 🕨 📊	Sub Participa Issuer	Maturity Date Annual I	ntere Currency
				Tue Wed Thu				
			30	31 1 2	3 4 5			
			13		17 18 19			
			20	21 22 23	24 25 26			
			27	28 29 30	1 2 3			
•				Today: 20/04				Þ
Ready				, Touay. 20/0-	4/2013			

4. Click Search.

3.

This displays all DSS Securities eligible to be nominated.

♦н	oldings - ACHC)2095										_ 🗆	×
20/0	ng date: 4/2015 💌 unt types: Hold	Sub account:	Series class: DSS lateral		ieries sub class: rity date: 🗵 20,	Series:	ISIN:	A	ub participant: CSL21	Issuer:	 3	Search	
•	Sub Account HOUSE	ACSL200715EBA01	AUS	ISIN EB1000	Series Class D55		Description ACSL BILL NOM	Sub Participa AC5L21	Issuer ACSL	Maturity Date 20/07/2015		Currency AUD	A
•													Þ
1 Iten	Found												//.



Creating Bill Nominations

To create a bill nomination:

1. Select Trades>Create Trade>Bill Nomination. This displays the Create Bill Nomination screen.

Public Details Sub participant: ACSL21 SFEC code: ASX Settlement date: 20/04/2015 Internal comment: 20/04/2015 Internal Details Internal Details Security Instructions +/- Server Substructions +/- Security Instructions - ACSL200715 Solution and the state of the s	reate Bill Nomina	tion						
ub participant: ACSL21 gold 4/2015 Internal comment: ublic comment: Internal Details security Instructions +/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 - ACSL200715 - ACSL200715 - ACSL200715	Acting for (F9):	ACHO20	•					
ettlement date: 20/04/2015 Internal comment: Internal comment: Internal Details	Public Details			Ov	erride sub accou	nt priority:		▼
Security Instructions +/- Series Issuer Full Name Iss Volume (a) Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active	participant:	ACSL21		SFE	C code:		ASX	
Security Instructions +/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 Image: Contemport Image: Contemport <td>ement date:</td> <td>20/04/2019</td> <td>5 💌</td> <td>Inte</td> <td>ernal comment:</td> <td></td> <td></td> <td></td>	ement date:	20/04/2019	5 💌	Inte	ernal comment:			
Security Instructions +/- Series Issuer Full Name Iss Volume ∠ Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active	c comment:							
+/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active	Internal Details							
+/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active								
+/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active								
+/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active								
+/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active								
+/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active								
+/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active								
+/- Series Issuer Full Name Iss Volume Sub Account Priority - ACSL200715 S0,000,000.00 HOUSE Active								
+/- Series Issuer Full Name Iss Volume △ Sub Account Priority - ACSL200715 50,000,000.00 HOUSE Active	a suitu Tashushi							
- ACSL200715 50,000,000.00 HOUSE Active								
			Issuer	Full Name Iss			Sub Account	
	- A	LSL200715			50,000,000.00	HOUSE		Active
OK								
OK Ca								
								OK Cancel

2. Enter the three digit SFEC code in the SFEC Code field.

The ASXC code can be entered or the code of any ASX Clear (Futures) clearing participant on whose behalf the

nomination is being made.

3. Enter the Series, Volume (to be nominated) and Sub Account in the corresponding fields in

the Security Instructions frame, and click OK.



22.5.6

Note: Multiple lines of stock can be entered in the one nomination.

Authorising, Modifying or Cancelling Bill Nominations

All ASX Austraclear System participants require a second user to authorise the bill nomination. To authorise, modify or cancel a bill nomination:

1. Select Settlement>View Settlements>Settlement Instructions.

This displays the Settlement Instructions screen.

2. Select **Bill Nomination** from the *Transaction Type* pull-down menu.

						_	
Source:		Т	ransactio	on type:			
		•	Bill Nomin	ation	\otimes	Sea	arch
)e:		rrenc;	Bill De Bill No Bulk T	omination Transfer Collatera Transfer Holding	I 12		
. Amoun	Series		SIN	Volume	Settlen	nent D	Source
	CBAA24111	AUGEE	31000	-3,000,000.00	30/10	0/2014	

- 3. Click Search.
- 4. Select the required transaction to be authorised, modified, or cancelled.
- 5. Right-click and select Authorise, Properties or Cancel.

To authorise a transaction select **Authorise**. To modify a transaction select **Properties**. To cancel a transaction, select **Cancel**.

🌠 Auti	horise Settleme	nt Instruction:	16698747					
₽ <mark>_</mark> Ac	ting for (F9): A	CHO20	•					
🖃 Pub	lic Details			Override	cash record pr	iority:		_
Settl. in	struction no.:	16698747		Confirme	ed:	\checkmark		
Sub par	ticipant:	ACSL21		Instructe	ed:	\checkmark		
Counter	part:	ACSL21		Authoris	ed:			
Settlem	ent date:	20/04/2015		Sub part	icipant ref.:	ASX		
State:		Matched		Internal	comment:			
Operati	on type:	Normal		Created	by:	ACHO20)95	
Transac	tion type:	Bill Nominati	on	Creation	i time:	20/04/2	015 3:45:40 PM	
Messag	e type:	Bill Nominati	on	Created	at workstation:	10.2.12	.3	
Counter	part ref.:			Authoris	ed by:			
Settlem	ent method:	RTGS		Authoris	Authorisation time:			
Trade d	ate:	20/04/2015	20/04/2015		Authorised at workstation:			
Public co	omment:							
Source:		CSD						
Source	ref.:							
Accept/	Reject:							•
🖃 Secu	urity Instruction							
	+/-	Series	Volume	Price	Sub Account	Priority		
•		ACSL200715	5,000,000.00		HOUSE	Active		
🖃 Payr	nent Instruction							
	+/-	Amount	Currency	Cash Record	Priority			
							OK	Cancel

22.5.7 Checking if the Bill Nomination is Settled

When a bill nomination transaction is created, the system automatically creates a settlement instruction with a state of **matched** in preparation for settlement.

The bill nomination requires authorisation. Once authorised, the transaction proceeds to a state of settled.

To see which transactions have been authorised, select the required transaction from the Settlement Instructions screen, right-click and select **State History**. This displays the State History screen listing the states of the bill nomination.

Settlement Instructi	ons - A	ACHO20JM			
State: Ser	🚫 Sta	ate History: 1	6646584		ate:
		State	Settlement O	Time 🔬	4
Transaction Typ	•	Matched	Settlement	30/10/2014	P
Bill Nomination		Not Settled	Settlement	30/10/2014	
Bill Nomination		Not Ready	Settlement	30/10/2014	
		Set Securiti	Settlement	30/10/2014	
		Waiting In	Settlement	30/10/2014	
		Ready To S	Settlement	30/10/2014	
		Settled	Settlement	30/10/2014	
		Ready To S	Settlement	30/10/2014	
		Settled	Settlement	30/10/2014	
		Settled	Settlement	30/10/2014	

22.6 Transferring the Sellers Nominated Securities

A seller can transfer nominated securities to the buyer in fulfilment of the 90 day BAB Contract.

Only securities that have been previously nominated are displayed for selection in the Series field of the Create Bill Delivery screen.

The number of trades is determined from the ASXC seller's advice. The face value entered by the seller is validated against the nominated amount displayed in the *Create Bill Delivery* screen.

22.6.1 Transferring Nominated Securities to Buyer

To transfer nominated securities to the buyer:

- 1. Select **Trades>Create Trade>Bill Delivery**. This displays the *Create Bill Delivery* screen.
- 2. Enter the counterparty in the Counterpart field.
- 3. Enter the required series in the Series field.
- 4. Enter the face value in the Face Value field.
- 5. Enter the yield in the Yield field.
- 6. Click Calculate.
- 7. Select the internal trade details.
- 8. Enter the three-digit ASXC code in the SFEC field.

The code for the clearing participant on whose behalf the delivery is being performed can also be entered in the *SFEC* field.

🌃 Create Bill Delivery				
🖶 Acting for (F9): ACH	020 🔻			
Public Trade Details				
Sub Participant:	AC5L21			
Counterpart:	SFEC20			
Series:	ACSL200715EBA01			
ISIN:	AU3EB1000623			
Maturity Date:	20/07/2015			
	Reset			
Drawer:	ASX			
Description:	ACSL BILL NOM			
Issuer:	ACSL			
Side:	🗭 Buy 🕼 Sell			
Trade Date:	21/04/2015			
Settlement Date:	21/04/2015			
Total Nominated:	90,000,000			
Nomination Remaining:	80,000,000			
Face Value:	10,000,000			
Yield:	2.5000			
Payment Settle:	🐨 Yes 🔎 No			
Settle Currency:	AUD			
Information:				
Consideration:	9,938,733.83 Calculate	•		
Use SSI:	🔿 Yes 🛛 🚱 No			
🖃 Internal Trade Details				
Sub account:	HOUSE			
Override Sub Acct Priority:	Active			
Cash Record:	123-456-789456			
Override Cash Rec. Priority:	Active			
SFEC:	SFE			
			ок	Cancel

22.6.2 Authorising a Bill Delivery Trade

There are three authorisation state options. This includes:

- Authorised the trade is authorised
- Needed the trade requires authorisation
- **Not needed** authorisation is not required for the trade.

A trade with Authorisation state = Needed must be authorised before it can be matched. The authorisation must be performed by a user other than the user who performed the transaction on the trade.

To authorise the bill delivery trade:

1. Select **Trades>View Trades**.

This displays the View Trades screen.

- 2. Enter the required search criteria, and click **Search**.
- 3. Select the transaction to be authorised.
- 4. Right-click and select **Authorise Trade**.
- 5. Check details and click **Authorise**.

🌃 Authorise Bill Delivery 🛙	12725			
Acting for (F9): ACHO	20 🔽			
Public Trade Details				_
Trade Number:	12725			
Trade State:	Unmatched			
Trade SubState:				
Sub Participant:	ACSL21			
Counterpart:	SFEC20			
Trade Type:	Bill Delivery			
Series:	ACSL200715EBA01			
ISIN:	AU3EB1000623			
Maturity Date:	20/07/2015			
	Reset			
Drawer:	ASX			
Description:	ACSL BILL NOM			
Issuer:	ACSL			
Side:	C Buy C Sell			
Trade Date:	21/04/2015			
Settlement Date:	21/04/2015			
Total Nominated:	90,000,000			
Nomination Remaining: Face Value:	90,000,000			
	10,000,000.00			
Yield:	2.5000			
Payment Settle:	🐨 Yes 🌔 No			
Settle Currency:	AUD			
Information:				
Consideration:	9,938,733.83	Calculate		
Matching Trade No:	, , , , , , , , , , , , , , , , , , , ,			
Settlement Instruction No:				
Source:	Austraclear			
Settlement State:				
Confirmed:	False			-
			Authorise	Cancel
			Additionse	Cancer

- 6. Select the transactions to be authorised.
- 7. Right-click and select **Bulk Authorise Trade**.
- 8. Check the details and click **OK**.

22.7 Confirming Buyer Securities

This provides the ability for the buyer to confirm or reject the transfer of nominated securities from the seller in fulfilment of the 90 day BAB contract.

22.7.1 Confirming the Bill Delivery Trade

To confirm the bill delivery trade:

1. Select **Trades>View Trades**.

This displays the View Trades screen.

2. Specify search criteria and click **Search**.

This displays all bill delivery trades settling on the current day.

- 3. Select the required transaction to be confirmed.
- 4. Right-click and select **Confirm Trade** or **Reject Trade**.

To confirm the trade, enter the three digit SFEC code and click Confirm. To reject the trade, click Reject.

🜠 Confirm/Reject Bill Del	ivery			
E Acting for (F9): ACHO	>20 🔹			
Public Trade Details				
Sub Participant:	SFEC20			
Counterpart:	ACSL21			
Series:	ACSL200715EBA01			
ISIN:	AU3EB1000623			
Maturity Date:	20/07/2015			
	Reset			
Drawer:	ASX			
Description:	ACSL BILL NOM			
Issuer:	ACSL			
Side:	🕼 Buy 🦱 Sell			
Trade Date:	21/04/2015			
Settlement Date:	21/04/2015			
Face Value:	10,000,000.00			
Yield:	2.5000			
Payment Settle:	🐼 Yes 🔿 No			
Settle Currency:	AUD			
Information:				
Consideration:	9,938,733.83	Calculate		
Use SSI:	⊙ Yes ⊂ No			
🖃 Internal Trade Details				
Sub account:	HOUSE			
Override Sub Acct Priority:	Active 💌			
Cash Record:	008-000-RTGS			
Override Cash Rec. Priority:	Active			
SFEC:	SFE			
		Confirm	Reject	Cancel

To authorise the bill delivery trade:

- 5. Select Trades>View Trades.
- 6. Specify search criteria, and click **Search**.
- 7. Select the required transaction.
- 8. Right-click and select Authorise Trade.
- 9. Check details and click **OK**.

For bulk authorisations of trades, select Bulk Authorise Trade.

23 Generating Reports

Reports enable users to:

Set global and individual preferences for printing reports from the View menu on the toolbar

• View, print and export reports from the Sub-Participants, Holdings, Trades and Settlement

menu on the toolbar.

23.1 Reports for Individual and Global Preferences

Report preferences (both global and individual) set by a user also apply to all the **proxies** assigned to the **user** where the proxy user has the Reports role.

23.1.1 Global and Individual Preferences

Reports are generated during the day at the following times:

- Before Business 5.30 am
- 2nd Payment Run 1.00 pm
- Day End 4.28 pm
- Interim Cash List 5.17 pm
- Final Cash List 7.02 pm (Winter) and 9.02 pm (Summer)
- After Business 7.30 pm (Winter) and 9.30 pm (Summer).

From a participant's perspective, after business reports and before business reports will be available the following morning.

A list of all available reports, descriptions and formats can be found at the end of this section inReport Types and Descriptions.

23.1.2 Setting the Global Report Preferences

For global report preferences:

1. Select View>Reports>Properties.

This opens the Global Report Preferences screen.

Global Report Preferences			×
Report Download Directory:	c:\temp\reports\client		
Keep Reports For:	30	days	
Automatic Download Time:	9:21:47 AM 📑		
Automated Report Actions			
Default Reports to Auto-Down	nload		
Default Reports to Auto-Print			
Automatic Download Options	Participants		
ОК	Cancel	Apply	

2. Select the required directory for the reports to be stored.

If the storage location is not the C: drive, specify the required location.

- 3. Specify the number of days reports are to be kept in the Keep Reports For field.
- 4. Select the required time for automatic download of reports in the Automatic Download Time

field.

5. Select the required automated report actions.

Select the required check boxes for automated report actions if required.

Download Reports at Start Up must have Default Reports to Auto- Download for Global Preferences or Auto Load selected for Individual Reports. If Automatic Download Time has not been selected, reports will be downloaded 5 minutes after the user has logged on.

Default Reports to Auto-Download works only if Download Reports at Start Up is selected, or Automatic Download Time is set.

Default Reports to Auto-Print must be selected to enable reports to be automatically printed when reports are downloaded (whether auto or manual). Select the required automatic download options.

- 6. Select the required Automatic Download Options if required.
- 7. Click **Apply** and then **OK**.

23.1.3 Setting Individual Report Preferences

Setting the Report Print Preference to Automatic

For an automatic download to occur, *Download Reports at Start Up* must be selected, or the *Automatic Download Time* must be set in the *Global Reports Preferences* screen. To set the report print preference automatically for an individual report:

1. Select View>Reports>Explore.

This displays the Reports screen.

🚫 AS>	🐼 ASX Austraclear [ACH020JM] TEST SYSTEM						
File	Viev	v Sub Participants	Hold	lings	Trades	Settlemen	
		Notes					
Defau	Current Session					-	
EXIGO :		<u>R</u> eports			<u>E</u> xplore		
, 	⊆alendars				Properties	5 43	
	Authorisation Policy						
		Contact <u>D</u> etails					

- 2. Select the required report date from the Report Date pull-down menu.
- 3. Click Search.
- 4. Select the required report.
- 5. Right-click and select Properties.

The Report Preferences dialogue box is displayed. For report preferences:

- When the boxes are greyed out with a tick, this indicates that it will default to Global Preferences
- When unchecked, auto download is turned off
- If Automatically Print has been selected, the report automatically prints
- When checked, without grey, this is set to automatic download regardless of what the global setting is.

Report Preferences	
Change Preferences for:	ChangesToAuditedTables
In Batch:	AfterBusiness
For Sub Participant:	ACHO20
Preferred Format	Default
Automated Report Actions Automatically Download Automatically Print	
Automatic Download Options	
ОК	Cancel Apply

Setting the Report Print Preference to Manual

To set the print preference manually:

- 6. Select View>Reports>Explore. This displays the Reports screen.
- 7. Select the required report date from *Report* date pull-down menu.
- 8. Click Search.
- 9. Select the required report.
- 10. Right-click and select **Preview**.

Selecting **Preview** displays the report. If **Preview** is greyed out, there is no report available. Select **Download** to load onto a specified directory. Choose **Print** to print the report to the default printer.

Note that the report needs to be downloaded before it can be previewed and printed.

23.2 Reports from the Sub Participants, Holdings, Trades and Settlement Functions

23.2.1 Viewing Reports for Reported/Open Trades

To view reports for reported/open trades:

This displays the View Trades screen.

1. Specify search criteria and click **Search**.

This displays all trades that a user is party or proxy to.

2. Right-click on the top row and select **Export to File**.

This enables a Reported Trade Report to be saved in CSV format.

- 3. Select Trades>View Trades.
- 4. Specify the required file name and location, and click **Save**.

This saves the report to the specified location.

5. Click OK.

A dialogue box is displayed stating that the file was exported successfully or not successfully. The drive that the file is exported to can be set in the user's preferences.



23.2.2 Viewing the Settlement Instructions Report

To view the settlement instructions report:

- 1. Select Settlement>View Settlements>Settlement Instructions. This displays the
 - Settlement Instructions screen.
- 2. Specify the search criteria and click **Search**.

This displays the settlement instructions for all transaction types settling on the specified settlement day.

- State:
 Series:
 ISIN:
 Sub participant:
 Counterpart:
 Settlement date::
 Source:
 Transa

 Transaction Type
 Settl. Instr. No.
 State
 Sub Participant:
 Counterpart:
 P17/11/2014
 Search

 Coupon Payment
 16649873 Matched
 MECU30
 BLFZ0
 MUD
 0.00

 Coupon Payment
 16649877 Matched
 BLFZ0
 MUD
 0.00

 Coupon Payment
 16649877 Matched
 HK0L21
 PNOM21
 AUD
 0.00

 Coupon Payment
 16649877 Matched
 HK0L22
 PNOM21
 AUD
 0.00

 Coupon Payment
 16649877 Matched
 PNOM21
 HK0L22
 AUD
 0.00

 Coupon Payment
 16649878 Matched
 PNOM21
 HK0L22
 AUD
 0.00

 Coupon Payment
 16649878 Matched
 PNOM21
 AUD
 0.00
 PNOM21

 Coupon Payment
 16649878 Matched
 NEPL70
 CON20
 AUD
 0.00

 Coupon Payment
 16649888 Matched
 MEPL70
 AUD
 0.00
 PNOM21

 Coupon Payment
 16649885 Matched
 CON20
 MSFL70
 AUD
 0.00
- 3. Select the required transaction type.

4. Right-click and select **Export to File**.

This enables a Settlements Instructions report to be produced in CSV format.

- Specify the required file name and location, and click Save. This saves the report to the specified location.
- 6. Click OK.

A dialogue box is displayed stating that the file was exported successfully (or not successfully).



23.2.3 Viewing the Cash Records Report

For more information on cash records refer to *Maintaining Cash Records as a Cash Record Owner*. To view a cash record report:

1. Select Sub Participants>Cash Records>View.

This displays the Cash Records screen.

- 2. Specify search criteria and click **Search**. This displays the user's cash records.
- 3. Select the required cash record.

ash record:	Cash record owner:	Cash provider:	Cu
	ACSL21		
	Cash Record	Currency	Cash Rec
Delete		AUD	ACSL21
Properties As Owr	ner	AUD	ACSL21
Properties As Prov			
· · ·	Transactions For Owner		
View Cash Record	Transactions For Provider		
Assign / Unassign			
Modify Code and I	Description		
Select All			
Сору			
Sort By			
Column Settings			
Export to File			
Print			

- 4. Right-click and select View Cash Record Transactions For Owner/Provider.
- 5. Specify the required search criteria and click **Search**.

1	erpart:		Settlement dat			iettlement date			gation state:	8
	Settl. Instructi		Counterpart	Operation Ty	Amount	Settl. Date	Settl. Time Ac		-	
	19288728	ACSL21	SFEC20	Normal	-1,000,000.00	12/02/2015	11:04 AM	Active	Settled	Cash Trade
	19288730	ACSL21	SFEC20	Normal	-1,993,680.00	12/02/2015		Active	Cancelled	Security Trade
	19288734	ACSL21	SFEC20	Normal	-498,420.00	12/02/2015		Active	Not Settled	Security Trade
	19288736	ACSL21	SFEC20	Normal	-1,495,260.00	12/02/2015		Active	Cancelled	Security Trade
	19288740	ACSL21	SFEC20	Normal	-498,420.00	12/02/2015		Active	Not Settled	Security Trade
	19288742	ACSL21	SFEC20	Normal	-996,840.00	12/02/2015		Active	Not Settled	Security Trade
	19288747	ACSL21	SFEC20	Normal	-1,030,560.00	12/02/2015	2:13 PM	Active	Settled	Market Repo

- 6. Select the required transaction for the owner/provider.
- 7. Right-click and select **Export to File**.
- 8. Save the file to the required drive.
- 9. Click **OK**.

23.2.4 Viewing the RBA Repos Report

To view a RBA Repos Report:

1. Select Trades>View RBA Repos.

This displays the RBA Repos screen in the Open view. If required, the Unauthorised or Historical search option can be selected.

A Repos - ACHO)20	IM	
Open	•	Sub par	ticipant/Co
Open		ISIN	Reference
Historical	2	15114	Reference
	<u> </u>	I	
	Open Open Unauthorised	Open 💌 Open Unauthorised	Open Unauthorised

2. Specify the search criteria and click **Search**.

Report Name	Report Description	Format
Available for All Participants		
Cash Open Trade Report	Displays all cash trades that are yet to settle, including unmatched trades.	PDF
Settlement Instructions Report	Displays the settlement instructions for transactions that were settled on the previous business day.	PDF and CSV
Cash Report	Displays the cash movements of all transactions that were settled for all sub participants' cash records at the close of business on the previous day.	PDF and CSV
DSS Open Trade Report	Displays all DSS trades that are yet to settle, including unmatched trades.	PDF
Holding Report	Displays all securities in the participant's portfolio at the current date.	PDF and CSV
Maturing Securities Report	Details all securities that are due for maturity within the next seven calendar days.	PDF
Outstanding Deposits and Withdrawals Report	Displays all outstanding deposit and withdrawal transactions irrespective of status.	PDF
Income Receivable Report	Displays income to be received on the current business day for coupon and maturity payments and any tax that will be withheld on coupon payments.	PDF and CSV
FIS Open Trade Report	Displays all FIS trades that are yet to settle, including unmatched trades.	PDF
Record Date Report	Lists all series in which a participant has a holding where today is the record date and how much coupon and/or maturity income is due to them.	PDF
FX Open Trade Report	Displays all FX trades that are yet to settle, including unmatched trades.	
Market Repo Open Trade Report	Displays all market Repo trades that are yet to settle, including unmatched trades.	PDF
Market Repo Coupon Report	Displays the coupon details of 2 nd leg market repo trades where today is the record date for the instrument and the 1st leg has settled.	PDF
RBA Repo Open Trade Report	Displays all RBA Repo trades that are yet to settle. The definition of an open RBA Repo trade is one that appears as an Open contract in the <i>View RBA Repos</i> screen.	PDF
Role Allocation Report	Lists all participant logons and the roles and authorisation to which they have access.	PDF and CSV
Pledged Securities Report	Displays all Pledge positions that a participant has open at that time. The report is divided into two sections, one where the participant is the pledgor and one where the participant is the pledgee.	PDF
Security Details Report	Displays the details of all securities in the systems that are in either an Inactive or Active status.	PDF and CSV
Available for Issuer Represent	tatives	
Place Payable Maturity Report	Displays details on the Maturity date of all maturing immobilised DSS securities payable on the day.	PDF
Issuer Representative's Holding Report	Lists all sub participants who hold a particular Issuer's securities and how much of that security they hold.	PDF
Issuer Representative's Turnover Report	Lists all completed trades involving a particular Issuer's securities.	PDF
Issuer Representative's DSS Maturities Payments Report	Details all DSS securities which are due to mature on the current business day and who the beneficial owner of those securities are, including the maturity amount that will be paid.	PDF and CSV

Report Name	Report Description	Format
Issuer Representative's Record Date Report	Lists all participants who hold a particular Issuer's securities at record date and how much income is due.	PDF
Issuer Representative's 1 st Run FIS Payments Report	Details for Issuer Representatives who they will be paying coupon and maturity payments to for the current business day.	PDF and CSV
Issuer Representative's 2 nd Run FIS Payments Report	Details for Issuer Representatives who they will be paying coupon, maturity and redemption payments to for the current business day. This report is available after 2:00pm daily.	PDF and CSV
Available for Cash Providers C	Dnly	
Cash List Report	Displays the cash position of each active participant to whom the Cash Provider provides cash clearing services. This report is produced as both an Interim and Final report.	PDF and CSV
Cash Record Limit Audit Report	Provides an audit trail for Cash Providers of changes made to their client's bank account limits during the course of each trading day, including intraday temporary adjustments.	PDF

This displays all of the RBA Repos that the user is party or proxy to.

- 3. Select the required RBA Repo.
- 4. Right-click and select **Export to File**.

This enables an RBA Repo Trade report to be produced in CSV format.

🚫 RB	A Rej	oos - ACH	1020JM	1	
View:	Ope	n	•	Sub par	ticipant/Cou
		5eries	IS	IN	Reference
•	TB01	30		nnnn	104.266000
	TB01	View	Details	;	04.266000
	TB01	Rever	se		04.266000
	TB01	Show	Cash To	tals	04.266000
	TB01	Select	ΔII		04.266000
	TB01	Сору			04.266000
		Sort B	w		
			n Settin	qs	
		Expor	t to File.		
		Print.		43	
					-

5. Specify the required file name and location, and click **Save**.

This saves the report to the specified location and will display a dialogue box specifying that the export was successful (or not successful).

6. Click OK.



23.2.5 Viewing the Holdings Report

To view a holdings report:

1. Select Holdings>View Holdings.

This displays the Holdings screen.

2. Specify search criteria and click **Search**.

This displays the participant's holdings for the current day.

ng date: 2/2015 💌	Sub account:	Series class:	Series sub class:	Series:	ISIN:		ıb participant: CSL21	Issuer:		<u>S</u> earch
 Sub Account	Series	ISIN	Series Class	Series Sub Cl	Description	Sub Participa	Issuer	Maturity Date	Annual Intere	Currency
HOUSE	TB0132	AU3TB0000	FIS	TB	TREASURY BON	ACSL21	COMM	21/01/2018	5.50000000	AUD

- 3. Select the required holding.
- 4. Right-click and select **Export to File**.

This enables a Holdings report to be produced in CSV format.

🔷 Hol	dings - ACHO	2095		
Holding	g date:	Sub account:	Series o	:lass:
12/02/	/2015 🔽			ŀ
	Sub Account	Series		ISIN
•	HOUSE	TB0132		AU3TB000
	View Securi	ity Transactions		
	Transfer Ho	olding		
	Bulk Transf	er Holding		
	Bulk Transf	er Collateral		
	View Reser	vation Details		
	View Non-F			
	Withdraw S	Security		
	View Pledge	e Details		
	Create RB4	A Repo Based on Hold	ling	
	Create Plea	dge from Holding		
	Select All			
	Сору			
	Sort By			
	Column Set	tings		
	Export to F	ile		
	Print			

- 5. Specify the required file name and location, and click **Save**. This saves the report to the specified location.
- 6. Click OK.

23.3 Report Types and Descriptions

The ASX Austraclear System supports only PDF and CSV formats.

24 Glossary

Term	Definition
Assured Payment	An assured payment is the by-product of a Real Time Gross Settlement (RTGS) system and Delivery versus Payment (DvP). Payment for a security is considered assured or guaranteed as the debiting Participants funds move to the crediting participant in real time at the same time as the transfer of the security.
Cash Trade	A two sided transaction that requires both the payer and receiver to enter their respective instructions; these transactions which will be matched by the system to effect the settlement. Settlement can be either: Automatic - where the payer has sufficient funds available, the system will affect the transfer of funds with no intervention required by either counterparty. Manual - where participants set their cash records to a deferred state and selectively process a transaction for settlement. The cash trade facility allows participants to pay and receive cash on the ASX Austraclear
Cash Transfer	System, either as a same day transaction or on a future specified date. A type of transaction where a cash amount is being transferred from one participant (Payer) to another (Receiver) on a specified date (settlement date).
Central Counterparty (CCP)	Specialised financial institutions that facilitate trading in cash securities and derivatives by simplifying clearing and settlement. A CCP stands between the seller and buyer in each trade shortly after the trade is made and replaces the original contractual obligations to deliver and to pay with equivalent obligations with the CCP.
Central Securities Depository (CSD)	An institution for holding securities which enables securities transactions to be processed by means of book entries. Physical securities may be immobilised by the depository or securities may be dematerialised (so that they exist only as electronic records).
Clearing	The process of transmitting, reconciling and in some cases confirming payment instructions prior to settlement; it may include netting of instructions and the calculation of final positions for settlement.
Commercial Paper	An unsecured, short-term debt instrument issued by a corporation, typically for the financing of accounts receivable, inventories and meeting short-term liabilities. Maturities on commercial paper rarely range any longer than 270 days. The debt is usually issued at a discount, reflecting prevailing market interest rates.
Counterparty	The other party to a transaction. A participant that is trading to ABCD20 will refer to ABCD20 as the Counterparty.
Delivery versus Payment (DvP)	DvP occurs when to complete a trade there is a simultaneous exchange of securities for cash that ensures that delivery occurs if, and only if, payment occurs. To be true DvP there must be an element of finality in the process, whereby neither side of the trade can unwind the transaction after settlement.
Discount Securities (DSS)	Any security that is sold at a price below the face value, or a security that is issued for a price below the face value, but pays out the face value at maturity. Discount securities of the first type may be re-sold later at a higher price, resulting in gains for the investor, while securities of the second type yield profit by paying out more than the purchase price.
Fixed Interest Security (FIS)	A FIS (or Bond) is one under which the borrower contracts to pay the lender a fixed principal amount at a stated date in the future and a series of interest payments either annually or semi-annually. The yield on the bond may be higher or lower than the interest rate. The yield reflects current market conditions. To achieve this the bond is purchased at a discount or premium.

Term	Definition
Real Time Gross Settlement (RTGS)	RTGS systems effect final settlement of interbank funds transfers on a continuous transaction - by - transaction basis without netting debits against credits throughout the processing day. In the Australian Financial Markets the RBA's RITS system is the authorised RTGS.
Receive versus Payment (RVP)	RVP occurs when to complete a trade there is a simultaneous exchange of securities for cash that ensures that delivery occurs if, and only if, payment occurs (the counterparty to a DvP transaction).
Repo Rate	A Repo rate is the interest rate paid to the cash side of the Repo/reverse transaction. A Repo rate is similar to an interest rate, but also reflects the demand for the Repo'd securities. Technically repo rates are nil interest rates because the cash in repo is a purchase or repurchase price not a loan.
Reserve Bank Information Transfer System (RITS)	Australia's high value payments system that is used by banks and other approved institutions to settle their payment obligations on a real time gross settlement (RTGS) basis. Transactions are entered into RITS directly or delivered via external feeder systems, such as Austraclear and Swift.
Security	In relation to financial markets, the paper right to a (generally tradeable) asset. In this context the term includes Bills of Exchange, bonds, share certificates or any other interest-bearing paper traded on financial markets. It is also an asset pledged to ensure the repayment of a financial obligation (e.g. loan), and forfeited in the event of a default on that obligation.
Settlement	In relation to securities trading, an arrangement between participants for the payment or receipt of cash or securities. It represents the final consummation of a securities transaction and is handled through the relevant clearing corporation specific to security type.
Standard Settlement Instructions (SSIs)	Lists of standard bank account details exchanged between market participants. These represent the accounts over which a financial markets participant pays and receives cash or securities in settlement of financial markets transactions. The details of each bank account must be listed including the name and location of the bank and the account number. If SSI's are in place it is possible to take advantage of Straight Through Processing. If SSI's are not in place treasury operations must contact the counterparty to obtain settlement instructions for each transaction.

Field Name	Description
General	· · · · · · · · · · · · · · · · · · ·
User	 The unique code used to identify the user. Naming conventions to be used is 'AAAA2099' where: A = Participant Mnemonic (4 characters) B = Sub Participant Code (2 digits) C = Next available No in series (2 digits). E.g. For ABC Company, the 8th user would be ABCA2008.
Sub Participant	The sub participant to which the user belongs.
User Locked	This is located in the user properties via Sub Participants>Sub Participants Users Sub Accounts>Explore. The Password Administrator is able to unlock the user.
Password Settings	
Password	Passwords must contain a combination of alpha and numeric characters as well as lower and uppercase letters.
Set as Temporary	The user password can be set as a temporary one if the 'Set as temporary' check box is ticked. The system forces users to change this password when they next log on.
Contact Information	
First Name	The first name of the user.
Last Name	The last name of the user.
Email	The email address of the user.
State	
State	 The present state of the user. It can be modified with immediate effect. One of: Inactive - A created user is inactive until it has been activated. An inactive user cannot log in to the system. Active - Active is the normal state of a user, that is, the user can log in and act in the system. Deleted - A user that has been deleted is given the state deleted. A deleted user cannot be activated again.
Assigned Roles	
Assigned Roles	 A list of the roles assigned to the user. The user has access to all user actions that are included in at least one of the listed roles. To view all roles select Sub Participants>Roles>View. Enter the required search criteria to view all roles in the system. Each role in the system consists of a group of User Actions. Only Roles can be assigned to users, not individual User Actions. Each participant will be allocated a group of roles according to their participant type. Administrators can assign one or more of the available roles to each of the users. The <i>Create User</i> screen displays all the roles available to the participant's type. At a minimum a user should be allocated the compulsory role. These are: CL Compulsory Role IR Compulsory Role.
Proxy Information	
Proxy Information	Lists the proxies assigned to the user.

Appendix 1. Create User Field Descriptions

Field Name	Description
	In Proxy Information a list of all active proxies for that participant is displayed. Administrators can assign one or more of the available proxies to a user.
Note	
Note	Free text used to describe the related action. Used for auditing purposes.

Field Names	Description
General	· · · · · · · · · · · · · · · · · · ·
Sub Account	A code that uniquely identifies a sub account within a given sub participant.
Sub Account Description	An informative description of the sub account and its purposes.
Sub Account Type	A sub account type holds properties that are common for a group of sub accounts. The eligible sub account types in the system:
	• Issuer Sub Account - The issuer sub account is connected to one or more issued instruments. An instrument can only be connected to one issuer sub account. A positive balance on this sub account signifies a not yet used balance.
	 Safekeeping Sub Account - This sub account type is represented by the investor sub accounts that keep the holdings. A positive balance on this sub account signifies a holding, i.e. a legal ownership of the holding.
Collateral Source	This field is only applicable to Collateral Participants. This indicates the sub account used for ASX Collateral.
Sub Account Priority	The priority of the sub account may be assigned to one of the following three priorities for settlement:
	Priority – this is the highest priority and is used to ensure that the security for a prioritised trade is locked in for settlement.
	Active – A lower priority than Priority. The sub account will not lock in securities for settlement if there is another sub account with higher priority.
	Deferred – This is the lowest priority. The sub account will not lock in securities with a deferred status.
Sub Account Controller	The sub participant to which the sub account belongs.
	This may be any of the sub participant codes or any sub participant accessed via a proxy.
Confirmation By	Not applicable.
Bank Account	Designates the bank account of a bank outside of the ASX Austraclear System that should be credited or debited with payments due. For example, corporate actions paying Maturity, Coupon or Redemption whereby the Series is held in a Sub Account within the Austraclear system.
Sub Account Holder	
Name	The name of the sub account holder.
ld	An externally accepted and unique code that identifies the sub account holder.
Cash Record	
Cash Record	Designates the cash record that should be credited or debited with payments due to, for example, corporate actions in connection with instruments on the sub account.
State	
State	The state of the sub account. One of:
	• Inactive - A created sub account is inactive until it has been activated, or is about to become deleted. It is only possible to delete a sub account in an inactive state.
	• Active - Active is the normal state of the sub account and means that it can partake in the actions in the system.
Note	
Note	Free text used to describe the reasons for modifications to the sub account.

Appendix 2. Sub Accounts Field Descriptions

Field Names	Description
Sub Participant	Identification of an organisation unit within the participant to which the SSI is designated. The system displays a wildcard '*' however a sub participant must be selected from the pull-down menu to enable the creation of a valid SSI.
Trade Type	The trade type can be left blank which the SSI will default to the cash record registered. Otherwise a specific trade type can be selected and multiple SSI's can be created.
Currency	Currency code for a valid payment series.
Sub Account	Sub account/security account identification.
Cash Record	Cash record/cash account specification.
Description	Participants can specify a description.
State	 Active or Inactive. Inactive – The SSI is inactive Inactive - Active is the normal state of the SSI. When the SSI is active, the SSI's will populate automatically for the trade type selected.

Appendix 3. SSI Field Descriptions

Field Names	Description
General	
Sub Participant	The unique code that is used to identify the sub participant. Cannot be modified.
Parent Sub Participant	Specifies to which sub participant the sub participant belongs, if any. Cannot be modified.
Sub Participant Type	 Defines the kind of relationship that the sub participant has to the CSD. One of: Clearing Sub Participant - A sub participant that participates in the clearing and settlement of trades. Institutional Investor - A sub participant, typically a large institutional investor,
	who is allowed to participate in clearing and settlement.
	 Payment System - The payment system controls the settlement counterparts' cash positions. The payment system locks the amount of cash required for the settlement process and transfers payments between sub participants.
	Cash Provider - A sub participant that supplies cash for clearing sub participants in the payment system. The cash provider manages this by means of a standing or a temporary cash limit for the clearing sub participant.
	Clearing House/CCP - An organisation that nets settlement transactions and acts as a central counterpart.
	• Sub A/C Controller - A sub participant responsible for the maintenance of the accounts towards the account holder. The sub account controller can open or close accounts, as well as interact with the system regarding the holdings at the account.
	• Issuer - The issuer borrows money on the market by issuing securities.
	• Issuer Rep - The issuer representative is a sub participant that is authorised to act on behalf of the issuer in the system.
	• Linked CSD - A linked CSD is either receiving or sending securities to or from the ASX Austraclear System. Depending on the direction of the securities, it is either confirming the reception of securities, or sending the request to deposit securities.
	Issuer CSD - The sub participant controlling the Issuer CSD Account.
	• Borrower - A sub participant that has signed an agreement to be a borrower within the ASX Austraclear system.
	• Lender - A sub participant that has signed an agreement to be a lender within the ASX Austraclear system.
	Netting Sub Ptpt - A sub participant that can be involved in the payment netting external source settlement.
External Template ref.	Determines what type of CSD operator can perform assisted transactions. For Austraclear internal use.
External Identification	
Investor Type	The investor type of the sub participant. One of:
	• Company - A company is a separate legal entity that is taxable on its net income.
	 Trust - A trust exists when a person holds property for others from which they can benefit.
ACN/ARBN	Australian Company Number.
ABN	Australian Business Number.
Clearing Bank BIC	Bank Identification Code for the Clearing Bank where the cash provider's bank account resides.
Limited Account No.	This field is for associate members only. Austraclear internal use only.
Clearing Bank Accounts	

Appendix 4. Participant Field Descriptions

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Field Names	Description
Account	The bank account that the cash provider has at the clearing bank. The clearing bank is a sub participant of type payment system and is assigned to the currency in the instrument configuration.
Currency	The denomination currency of the bank account.
Default	
Default Sub Account	The sub participant's safekeeping sub account, only allowed for certain sub participants.
Default Cash Records	Lists the sub participant's cash records, one cash record per currency.
Contact Information	
Sub Participant Name	The full name of the sub participant.
Country	The country code for the sub participant. Displayed as a two letter code.
Postal Code	The postal code.
City	The name of the city.
Province or State	The province or state.
Address	The sub participant's address.
Contact Person	The contact person for the sub participant.
Phone Number	The telephone number to the contact person.
Fax Number	The fax number to the sub participant's office.
E-mail	The email address to the contact person.
State	
State	The state of the sub participant. One of:
	• Inactive - The sub participant is not allowed to participate in any new actions in the system when it is set to Inactive.
	• Active - Active is the normal state of the sub participant and means that all user actions can be performed, as long as no other limitations are valid.
Suspended	Indicates whether the sub participant is suspended. A suspension covers the exclusion of all the sub participant's users and proxies.
Instruments Issued	
Instrument	The instruments that the sub participant has issued in the system.
Amount Unit	Controls whether the amount of the instrument should be counted in quantity or as face value of denomination currency.
Currency	The instrument's denomination currency.
Issue Balance	The issue balance for the instrument.
Note	
Note	Free text that describes the reasons for the action.

Field Names	Description
Operation	The operation associated to the action that needs to be authorised.
Time stamp	The time when the note was created in the action to be authorised, in UTC time.
User	The identity of the user that performed the action that needs to be authorised.
Note Text	A free text describing the action.
Affected Object	The name of the object that needs the authorisation.
Object Type	The type of object that needs the authorisation.
Action Type	The type of action.
Sub Participant	The identity of the participant.

Appendix 5. Authorisations Field Descriptions

Field Names	Description
General	
Cash Record	The code that together with cash record owner uniquely identifies a cash record in the system.
Description	On original request to create cash record, Participants can specify a description for the cash record.
Currency	The currency that is held on the cash record. Only one currency per cash record is allowed.
Cash Record Owner	The owner of the cash record, that is, the person or organisation that uses the cash record.
Cash Provider	The participant (of Cash Provider type) that supplies cash to clearing participants by letting them use its own cash account in the payment system. This is managed by the creation of cash records in the system, where the cash record owner is the clearing participant.
Cash	
Cash Limit	The amount to which the cash record is allowed to go into debit when the system is operating in an RTGS environment. That is, the amount of cash available to the cash record owner within the system set by the cash record provider.
	Cash providers who are Non-AIF [what is AIF?] banks must set a Cash Limit on each of their customer's cash records. The field may be set to zero.
Temporary Adjustment	A temporary adjustment from the normal cash limit, only valid during the current day.
	The Temporary Adjustment field displays the adjustment from the normal cash limit to which the cash record can go into debit when the system is operating in an RTGS environment. Updates to this field are valid intraday only.
Reservations	The amount of cash on the cash record that has been reserved, for example, to be transferred as a payment.
Balance	The balance is the total sum of the amounts in all settled settlement obligations for one cash record, including reserved amounts.
Internal Credit Management	There are two options that can be selected from the Internal Credit Management pull-down menu. This includes:
	True - All Banks regardless of clearance mode may set their customer cash records to Internal Credit Management = True. All transactions for those cash records must pass the debit caps limit test before being sent to RTGS for processing. (Note: any change to the Internal Credit Management 'flag' may take up to 30 minutes before it becomes effective.)
	False - Only banks with a clearance type AIF may set their customers' cash records to Internal Credit Management = False. AIF banks must also complete the following three fields for each customer's cash records:
	• The Pre-Settlement Advice field may be set to True or False. If set to True an instruction will be sent to RTGS to create a Pre-Settlement Advice.
	The Priority field instructs RTGS how to prioritise transactions sent from the system. This field can be set to Active, Deferred or Priority.
	• The Post-Settlement Advice field may be set to True or False. If set to True an instruction will be sent to RTGS to create a Credit Post-Settlement Advice.
	• The Cash Record Priority field determines how transactions will progress for settlement within Austraclear. This field can be set to Active, Deferred or Priority.
Payment System	

Appendix 6. Cash Records Field Descriptions

Field Names	Description
Pre settlement Advice	False or True. It determines if a Participant's bank is to receive SWIFT message when the settlement instruction is sent via the RITS feeder to RITS.
Priority	Active, deferred, priority. The priority that the settlement instruction is sent to RITS via the RITS feeder.
Post Settlement Advice	False or True. It determines if a Participant's bank is to receive SWIFT message when the settlement instruction is sent via the RITS feeder to RITS.
State	
State	The state of the cash record. One of:
	Active - The cash record is "alive", that is, it can take part in transactions within the system.
	Inactive - An inactive cash record cannot take part in any transactions within the system. It is automatically prevented from being part of any transactions registrations. Only inactive cash records can be deleted.
	Deleted - The cash record has been permanently deleted, meaning that it cannot take part of any transactions, and cannot be re-activated. It will remain in the system until the system is purged.

Appendix 7. Corporate Actions Field Descriptions

Corporate Actions

Field Names	Description
Corporate Actions	Corporate action name.
Complete	Yes - Indicates that the corporate action setup is completed.
	No - Indicates that additional information is required before completion.
List Complete	Specifies if the corresponding holder list is completed.
State	State of the corporate action.
Underlying Series	The underlying series code that gives the holder rights to entitled benefits.
Description	Description of the underlying series.
Event	Short name of the corporate action event.
Issuer	Sub Participant code of the issuer.
Issuer Representative	Sub Participant code of the issuer representative or CSD itself. [CSD?]
Record Date	Date when the system should check which investors should be entitled to the benefits.
Mandatory	Indicates whether the corporate action is mandatory or optional. By default set to True (mandatory).
128F Exempt	Includes the 128F Exempt information set on the series specified in the corporate action. The 128F Exempt cell is blank if the attribute is not set in the series.
	The series 128F Exempt information is displayed as read-only.

Corporate Action Holder List

Field Names	Description
Corporate Action	The unique code used to identify the Corporate Action.
Record Date	The date and time when the list was recorded.
List Completed	Is set to TRUE if no further entries are expected to the list.
Sub Participant	The sub participant to which the sub account belongs, i.e. the sub account controller.
Sub Account	The sub account to which the holding belongs.
Volume	The total volume of security held.
Alternative	If there are different alternatives, the choice is specified here.
Benefit	Defines which instructions are included and the execution date they should be settled.

Corporate Actions Settlement Instructions

Field Names	Description
Corporate Action	Corporate action name.
Event Ref Code	The corresponding corporate event.
Series	The series involved in the corresponding trade.
lssuer	The sub participant that issued the series.
ISIN	The ISIN code of the series.

Settlement Instruction Number	Sequence number that uniquely identifies the instruction. Set by the system.
Settlement Date	The settlement instruction's settlement date.
Volume	The size of the delivery.
Sub Account	The sub account code.
Payment Amount	Specification of the payment amount.
Payment Currency	Specification of the currency.
Message Type	Specifies properties that decide how the settlement is to be handled. One of the following:
	 DvP - The security is delivered in exchange for the payment, in a final and irreversible manner.
	Note : This message type is also used for Delivery and Payment (DaP), by changing the sign for the amount to be paid.
	 DVD - The security is delivered in exchange for another security, in a fina and irreversible manner.
	• FOP - A security is delivered without any kind of delivery in the opposite direction.
	• PVP - An amount of money is transferred in exchange for another amount of money.
	• PVN - An amount of money is transferred without any kind of delivery in the opposite direction.
	CANC - Request to cancel another instruction.
	REC - A recall instruction.
	 NOM - The sub participant nominates the security that will be used for trading later.
	• RNOM - Message type used when the sub participant wants to release bill nomination.
	 PLVPL - This is used to substitute a parcel of unpledged securities for a parcel of pledged securities. The substitution is initiated by the pledged and completed once the counterparty confirms.
	 PLVP - Funds are transferred from the pledgee's bank sub account to the pledgor's sub account after passing the cash limit test, and a hold is place on the pledged securities.
	• PLOP - No cash is transferred between the sub participant's cash record by the system but a hold is placed on the pledged securities.
	 RLVP - Funds are transferred between the pledgee's and pledgor's cash records after passing the cash limit test, and the pledged securities are released.
	• RLOP - No cash is transferred by the system, between the sub participants cash records but a release is made in the pledged securities.
	CORP - The message is a result of a benefit instruction of a corporate action.
	TRANS – One sided transfer of a holding between a sub participants sub accounts.
Operation Type	Specifies the type of operation that resulted in the settlement instruction being created. One of the following:
	NORMAL - A normal settlement instruction
	MATP - Maturity payment
	CPON - Coupon
	PAYM - Payment
	CORP - Corporate Action
	• ASXT - ASX Transaction, special cash payment for margin requirement
	RBA REPO - First leg in create liquidity repo
	REVERSE RBA REPO - Second, or reversed, leg in create liquidityrepo.

Settlement Method	Specifies the settlement method to be used to settle the corresponding trade. One of the following:
	RTGS - Real Time Gross Settlement. Trades are settled individually and immediately
	EoD - Gross settlement at the end of day, when the system is in end-of- day mode
	• External - Gross settlement of securities legs only, the cash is handled outside of the system
	• BISM1 - Gross settlement, trade for trade at a given point in time
	BISM2 - Batchwise net settlement for cash legs but gross settlement for securities legs
	BISM3 - Batchwise net settlement
	RTAIB - Real time adjust issue balance, that is, the settlement is done immediately
	BAIB - Batch adjust issue balance, that is, the settlement is done at the specified time
	DWNET - Deposit/Withdraw net; used for netting settlement instructions in the deposit/withdrawal of securities functionality
	Payment Netting - Net settlement of cash
Sub Participant	The sub participant involved in the leg of the deal to which the settlement instruction refers.
Cash Record	A code that together with the cash record owner uniquely define a cash record in the system.
Cash Record Owner	The owner of the cash record.
State	The state of the settlement instruction. One of:
	• Unmatched - The instruction has been created but not yet matched with the instruction of the other leg in the deal
	• Matched - The instruction has been matched with the instruction of the other leg in the deal
	Recall Requested - A recall has been requested for the instruction
	Pending Payment System Recall - The recall request has been passed on to the payment system
	Cancelled - The instruction has been cancelled successfully
	Cancel Pending - A sub participant has requested to cancel the settlement instruction
	Cancel Requested - The counterparty has requested to cancel the settlement instruction
	Cancel Completed - A cancel request has been completed
	Recall Complete - The recall request has been completed
	Recalled - A sub participant has recalled the instruction
	Recalled by Counterpart - The counterpart has recalled the settlement instruction
	Rejected - The instruction has been rejected by a user
	 Completed - Final state for a settlement instruction involved in corporate action, where the settlement instruction is only used to lock in the issuer's amount and will never settle
	• Settled - The settlement has been carried out successfully
	• Failed - The instruction failed to be settled.
Instructed	Specifies if the settlement instruction will be automatically executed (True) or if it has to be finally instructed by the sub participant as a separate action (False).
Counterpart	The sub participant that acts as a counterpart in the transaction.
Issuer Representative	The sub participant code of the issuer representative taken from the underlying series.

Field Names	Description
Corporate Action	The name of the corporate action.
No. of Settlement Instructions	The number of settlement instructions for the corporate action.
State	The state of the corporate action. One of: Planned Holder List Created Settlement Instruction Created Preparing for Settlement Currently executing Successfully executed Failed.

Monitor Corporate Action Execution

Appendix 8. DSS Issuance Field Descriptions

Field Names	Description
Change Time	
Activation Time	The point in time when the series template should be set in Active state.
General	
Series (code)	 The guideline on how to construct the Series ID is as follows: The DSS Series ID is 15 or 16 characters long (depending on the Series Sub-Type). There should be no spaces between the characters. First four characters - Issuer Participant Code - e.g. WPAC Next six characters - Maturity Date - in the form DDMMYY e.g. 310605. Please note that the year is essential as the system will ensure uniqueness of the Series ID over a number of years (up to 7 years). Next two to three characters - Series Sub-Type e.g. EBA, BA, CD, ECD etc. Last two characters - Sequence Number to be used where an Issuer has multiple issues of the same sub-type for any given maturity date - e.g. 01 to 99. If there were more than 99 of the same sub type for the same maturity date then this number when then go to A1-A9 to Z1-Z9, giving a further 234 possibilities. To give a working example of the above, two EBAs issued by WPAC for the same maturity date, 31/06/05 would become: WPAC310605EBA01; and, WPAC310605EBA02.
Series Name	A long name describing the series uniquely.
Manual Entry of Corporate Action Dates	Specifies if Corporate Action dates can be entered manually.
Description	Concise description of the series template. This field is utilised for recording distinguishing marks on discount securities.
Parent Series Template	The series template that the series inherits from.
External Template Reference	The template in external systems that the related series should be mapped to. I.e. if the security is to be traded as both a DSS outright security and Repo then the external template ref. will be T_REPD, otherwise to be set to T_BILL.
Issuer	The code of the participant that issued the series. Normally only specified at series level.
Issuer Representative	Participant responsible for the series in the system (but not for the Deposit/Withdrawal).
Issuer Balance Responsible	Participant responsible for the Deposit/Withdrawal of the series. The Issuer Balance Responsible field indicates who is acting as the depository for the series. This field should always be populated with ACLR20 for immobilised Discount securities and the Issuer's sub participant code for all dematerialised Discount Securities.
Form	Specifies whether the series is immobilised or dematerialised.
Deposit Allowed	Indicates whether the series can be an object of a deposit request.
Withdrawal Allowed	Indicates whether the series can be withdrawn.
Has Redemption Values	Specifies if the series has redemption values such as partial maturity date, partial redemption amount and capital value.
Identifiers and Classifie	cations
ISIN	The ISIN code for a series. Check tick box Automatic for ISIN to be auto generated or leave blank for ISIN to be entered manually.

Field Names	Description
Series Class	A classification of the series object that is defined and applied for the specific market. This can be used by the CSD to group series according to any suitable logic for external users. For example, 'Fixed Interest Security' or 'Discount'.
Series Subclass	A more detailed classification of the series.
Non-fungible	Specifies whether the series is non-fungible (Yes) or fungible (No).
General Volume Units	
Denomination Currency	The currency in which the series is denominated.
Total Volume on Issue	The total volume on issue of the series. This can differ from the actual balance in the CSD, for example if the series is also issued in another CSD.
Volume Unit	Specifies whether the amount of the series should be a quantity or a face value of the Denomination Currency.
Decimals in Volume	The number of decimals that volumes of the series are specified with. The range is: $0 - 4$.
Minimum Settlement Volume	The minimum volume that can be settled in the system. Must equal a multiple of Multiple Volume.
Multiple Volume	The smallest volume of the series that can be handled. All settled volumes have to be multiples of this value.
Corporate Action: Matu	rity Information
Issue Date	The legal issue date. Specifies when the series balance is issued (made available to the market). May differ from the time when the information was stored or the issue was performed in the system.
Request Confirmation	Indicates if the issuer representative is required to instruct the settlement instructions debiting the total volume or amount that will be delivered or paid from the issuer representative's sub accounts.
Automatic Corporate Action	Specifies if a corporate action type will be created automatically.
Corporate Action Cash Record	Cash record used for automatic corporate actions. The cash record must have the same currency as the denomination currency and belong to the sub participant who is the Place Payable.
Corporate Action Cash Record Owner	The sub participant who is the Place Payable.
Corporate Action Sub Account	Sub Account is used as issuer sub account for maturity for automatic corporate actions. The sub account must belong to the issuer representative.
Rate Rounding Decimals	Defines the number of decimals to which the percentage form of rate should be rounded. Used when calculating coupons or maturity for automatic corporate actions. Must be between 0 and 8.
Books Close Convention	Day convention for the books closing period, Business Days or Calendar Days. Business days means that the record date is on the business date a number of business days before the coupon/maturity date. Business days are defined
	in the calendar. Calendar days means that the record date is on the date that occurs a certain
	number of calendar days before the coupon/maturity date. Must be defined if Coupon Books Close Period or Maturity Books Close period are defined.
Record Date Adjustment Convention	Describes how to push the record date of a corporate action when it occurs on a non-business day.
Payment Adjustment Convention	Describes how to push the payment of a corporate action when it occurs on a non-business day.

Field Names	Description
CA Days 1-4	The days when settlement of corporate actions can occur, that is, when money or securities for corporate actions can be transferee between sub participants. The system stores a maximum of four calendars per series. The calendars are combined as a logical and operation, that is, all calendars must allow a day for the day to be allowed.
Corporate Action: Matu	irity Information
Maturity Formula	Sets the formula to be used for maturity calculations. Only mandatory if Maturity is set to Automatic Corporate Action.
Maturity Date	The date when the series will (finally) mature to redemption. Must be later than the First Maturity date.
Maturity Books Close Period	The number of days in the books close period between record date and maturity payment date. No settlements are allowed in the close period.
Corporate Action: Cou	pon Information
Coupon Formula	The formula to be used for coupon calculations. Mandatory only if coupon is set up as automatic corporate action.
Annual Interest Rate %	Effective yearly rate used for coupon payments. Must be >= 0.
Coupon Rate Rounding Decimals	Defines the number of decimals the percentage form of coupon rate should be rounded to. Must be between 0 and 8.
Rate Rounding Decimals	Defines the number of decimal places the percentage form of coupon rate should be rounded to. Must be between 0 and 8.
Market Ref. Rate Index	Reference to the market reference rate used for coupon payments.
Rate Type	 Indicates the type of rate, one of the following: Fixed - One and the same rate is used through the life time of the series Floating - The rate is manually modified before each interest period.
Rate Adjustment	An additive margin on the annual interest rate.
Accrual Convention	Day count fraction to use in calculations of accrued interest for a period of days. One of the following:
	 Actual/Actual - Actual number of days in the period divided by the actual number of days in the year
	 Actual/360 - The actual number of days in the period divided by 360 Actual/365 - The actual number of days in the period divided by 365. This is a way of ignoring leap years (??)
	• 30/360 - The number of months in the period multiplied by 30/360.
Last Day in Month	Specifies whether the corporate action dates for coupons should always be set (calculated) to the last day in the month.
Adjustment Convention	Describes how to push the coupon date if it occurs on a non-business day. One of the following: Next - The first valid business date after the original settlement date for the current kind of transaction.
	Previous - The last valid business date before the original settlement date for the current kind of transaction.
	Modified Next - The next business date, except if this lies in the following month, in which case the previous business date is chosen
First Payment Date	The date at which the series will produce the first coupon payment.
Last Payment Date	The date at which the series will produce the last coupon payment. Must be >= First Coupon Date.
Months Between Payments	Number of months between coupon payments for a security with reoccurring coupon payments.
Coupon Books Close Period	Number of days in the book's close period between record date and coupon date.

Field Names	Description
Information Dissipation	
Country of Issue	The country where the series is issued, from a legal point of view. Displayed as a two letter code.
Issuing CSD	The primary registry responsible for the series.
Registrar	The name of the organisation acting as registrar for this issue. The organisation does not have to be a participant in the system.
Holder List Public	Indicates whether the holders of the series are allowed to be displayed or not.
Syndication	Describes for debt series, whether the series is primarily issued at another Issuer CSD.
Discount Securities	
Drawer	Issuer of the bill and liable to pay the acceptor on maturity. This payment is not handled by the system.
Display Drawer	Specifies if the identity of the drawer should be disclosed on market wide screens (Yes or No).
Prime Name	The guarantor backing the bill. This is often the same as the Acceptor, unless there is an endorsement.
Place Payable	Agent that performs the maturity payment on behalf of the Acceptor. Often the Acceptor himself.
Payee	This is the initial payee of the bill, before it was entered in the system. Information field only.
	Note: The words 'Bearer' or Full Name of payee should be used. Participant/Sub-participant codes should be avoided.
Trading Information	
Novation Allowed	N/A
Settlement Attributes	
Settlement Days	The days when settlement can occur.
Cash	
Cash	True – the series is a cash series, i.e. a currency.
Future of Ole arises	False – the series is not a cash series.
External Clearing	Indicates that settlement in the given currency is performed outside the default payment system of the settlement process.
Payment System	The code for the bank responsible for the clearing of currencies.
Payment System Cut-off Time	Indicates the latest time on a business day that the system can send instructions to settle payments in the given currency (when External Clearing is set to TRUE). Expressed in CSD Local Time (according to the System Time settings).
CA Cash Record Owner	The CA Cash Record Owner field is used to record the sub participant code of the place payable. This indicates who owns the cash record that will be used for the payment of Corporate Actions relating to that series.
Note	
Note	Free text that describes the reason for the action.
CA Cash Record Owner	The CA Cash Record Owner field is used to record the sub participant code of the place payable. This indicates who owns the cash record that will be used for the payment of Corporate Actions relating to that series.
CA Cash Record	The CA Cash Record field allows the Issuer Representative to nominate a specific cash record to be used for the payment of Corporate Actions relating to that series. It is the place payables cash record.
CA Sub Account	The CA Sub Account field is used to record the Issuer Representative's sub account that will be used in the payment of corporate actions for that series. This field should be populated with the "Issuer Account" type sub account

Appendix 9. Deposits Field Descriptions

Field Names	Description
Series	The series code of the security.
Series Description	A description of the series.
ISIN	The ISIN code for the series.
CUSIP	The CUSIP code of the series.
Sub Participant	The participant that entered the request.
Holding Sub Account	The safekeeping account code where to credit the volume of the deposit or to debit the volume of the withdrawal.
Volume	The volume of the deposit or withdrawal.
Earliest Settlement Date	The earliest date the deposit or withdrawal for execution.
Comment	A comment regarding the deposit or withdrawal.

Field Names	Description
Series	The series code of the security, mandatory for a withdrawal.
Series Description	A description of the series.
ISIN	The ISIN code of the series.
CUSIP	The CUSIP code of the series.
Sub Participant	The participant that entered the request.
Holding Sub Account	The safekeeping account code where to credit the volume of the deposit or to debit the volume of the withdrawal.
Volume	The volume of the deposit or withdrawal.
Earliest Settlement Date	The earliest date the deposit or withdrawal for execution.
Comment	A comment regarding the deposit or withdrawal.
Note	Enter a description of the request and its context.

Appendix 10. Withdrawals Field Descriptions

Field Names	Description
Participant/Counterparty Information	
Participant	Automatically displayed participant for the user that logged in; it cannot be changed. This is the party to whom the trade will be registered. This is 6 characters.
Counterpart	Specify an opposite party to the trade. Type to select a particular counterparty, a valid exchange customer or select from the pull-down menu. Sub Participant Code – 6 characters.
Trade Information	
Settle currency	AUD only
Pay Receive	 Select trade side option: Pay - Pay side Receive - Receive side.
Trade Date	Original registration date and time for the trade. Enter a date, current business date or earlier. The default is current business date.
Settlement Date	Settlement date/value date; date for delivery/settlement. Enter a date, current business date or later. Default is current business date.
Amount	Specify cash amount to be transferred. The maximum amount to be transferred is 9,999,999,999.99.
Interest Rate	Enter interest rate to be used for information purposes. The maximum rate to be used is 999.9999.
Sub Participant	Automatically displayed organisation unit within the participant for the user that logged in. This is used to specify the sub participant code through which the settlement occurs.
Cash Type	 Select cash type option from the pull-down menu: 11AM Call - 11AM Call 24HR Call - 24 HR Call FORX - Foreign Exchange FINT -Fixed Interest COUP - Coupon Payment OPTN - Options FNTR - Funds Transfer Repo - Repurchase ELEC - Electricity Payment TCSH - Term Cash. The Cash Type field is used to specify the payment type relating to the Cash Trade. This field is for information purposes only.
Cash Record	If Yes is selected for SSI, the cash record value is automatically specified in the Cash record field, otherwise specify the code, which can be up to 24 characters. Alternatively, it can be selected from the pull-down menu. The pull-down menu contains cash records dedicated to the participant specified in the Sub participant field.
Settlement Information	

Field Names	Description
Payment Settle	Select either Yes or No. The default = Yes. No is for free of payment trade. Foreign currency is currently not available.
Settle Currency	Automatically displayed settlement currency code for the instrument class of the series.
Use SSI	Select either Yes or No. The default = Yes. If a Standard Settlement Instruction (SSI) is defined for the Sub participant and instrument (Participant \rightarrow SSI) the parties have the option to use or not to use it for a certain trade.
	 Yes - The SSI is used and settlement instruction is retrieved from the SSI item
	 No - A content of the settlement instruction must be specified manually below.
	The SSI field defaults to Y indicating that the cash will settle via the default Cash Record. To select an alternate Cash Record on a transaction by transaction basis, select N in the SSI field. The pull-down menu in the Cash Record field may be used to select from the list of available Cash Records. Note – If SSI is set to 'Y' and there is no SSI set up then the trade will not settle. Ensure that the Cash Record field is not blank.
Sell Settlement Instruction	Enter free text for the sell side, manually describing settlement instead of using the SSI max. 120 characters, recommended if SSI = No and Payment settle = No. External interfaces and foreign currency trades require Settlement instructions to instruct the payer where to pay the funds. The SWIFT interface will use the Participant ref. for identification.
Information	Enter participant information, free text using printable characters, max. 80 characters.
Sub Participant Ref	Enter participant reference, free text using printable characters, max. 32 characters. It is used as link for a trade in an external system. SWIFT requires the participant ref to send SWIFT payment instructions and confirmations for example the BIC.

Appendix 12. DSS Field Descriptions

Field Names	Description
Participant Information	
Participant	Automatically displayed participant for the user that logged in; cannot be changed. This will be the party to whom the trade will be registered.
Participant Name	Automatically displayed long participant name for the party.
Counterparty	 Specify an opposite party to the trade. Type to select a particular counterparty, a valid exchange customer or select it from the pull-down menu. There is a space between the parts of the identification. AC - 2 characters Participant Mnemonic- 4 characters Sub Participant Code - 2 characters. If the user only enters the Participant Mnemonic the system automatically inserts the AC Prefix.
Counterparty Name	Automatically displayed long participant name for the counterparty.
Trade Information	
Series	Specify an existing series to trade, or select it from the pull-down menu. Either Series or ISIN must be specified. Alternatively if the Maturity Date is selected, the Series List will only show series for that maturity date.
ISIN	Instrument series International Securities Identification Number (ISIN). Specify a valid ISIN to identify the instrument series, or select it from the pull-down menu. Either Series or ISIN must be specified.
Coupon Rate	The field is not used. Frozen = 0.
Maturity Date	Automatically displayed or entered value. Specify a maturity date, or select it from the pull-down menu The value must be equal to the instrument series expiration date.
Underlying	Automatically displayed or entered value. Enter underlying long name, or select it from the pull-down menu.
Issuer	Automatically displayed or entered value. Specify an issuer, or select it from the pull-down menu.
Defer Settlement	For Seller only, select: Yes No
Side	Select trade side option: Buy - buy side Sell - sell side
Trade Date	Original registration date and time for the trade. Enter a date, current business date or earlier. Default is current business date.
Settlement Date	Settlement date/value date; date for delivery/settlement. The date must be a valid settlement date according to CDB. Enter a date, current business date or later. Default is current business date.

Field Names	Description
Face Value	Face value of the DSS Trade.
	When entering the value, the following abbreviations are available:
	K - for thousand
	T - for thousand
	M - for million
	The entered number of decimals must be the same as in the default value 0.00 displayed in the field.
	The maximum value is configurable up to 10 billion.
	Example: 12.5M is equal to 12,500,000.00
Yield	Enter a yield within 0 to 100.
	The entered number of decimals must be the same as in the default value 0.00 displayed in the field.
Agreement Type	If matched agreements exist between the parties, the agreement type is automatically displayed as defined, as soon as the parties are entered, and cannot be overwritten, examples: ISDA, FRABBA
Sub Participant	Automatically displayed organisation unit within the participant for the user that logged in.
Sub Account	This field is now mandatory for a trade entry. This prevents participants entering trades with incomplete standard settlement instructions information that prohibit trades from progressing to a settled state.
	If SSI Yes is selected, the sub account value is automatically specified.
Cash Record	This field is now mandatory for a trade entry. This prevents participants entering trades with incomplete standard settlement instructions information that prohibit trades from progressing to a settled state. If SSI Yes is selected, the cash record value is automatically specified,
	otherwise specify.
	If SSI is No, select it from the scroll list. The scroll list contains cash records dedicated to the participant specified in the Account field.
Settlement Informatio	n
Payment Settle	Select one of the Yes No radio buttons. Default = Yes.
	For foreign currency, Yes is only available if the participant is a SWIFT participant with BIC identification.
	The system validates the consideration amount.
	Yes - and if the consideration amount is greater than 0, a payment will be performed using a DvP instruction for SWIFT or CSD.
	No - or if the consideration amount is 0, a Free Of Payment (FOP) delivery will still be performed.
Settle Currency	Automatically displayed settlement currency code for the instrument class of the series.
SSI	Select Yes or No. Default = Yes.
	If a Standard Settlement Instruction (SSI) is defined for the account and instrument (Participant \rightarrow SSI) the parties have the option to use or not to use it for a certain trade.
	Yes - the SSI is used and settlement instruction is retrieved from the SSI item
	No - a content of the settlement instruction must be specified manually below.
Sell settlement instruction	Enter free text for the sell side, manually describing settlement instead of using the SSI max. 120 characters, recommended if SSI = No and Payment settle = No.
	External interfaces and foreign currency trades require Settlement instructions to instruct the payer where to pay the funds.
	The SWIFT interface will use the Participant ref. for identification.
Novation	The field is not used. Frozen = 0.

Field Names	Description
Information	Enter participant information, free text using printable characters, max. 80 characters.
Participant ref	Enter participant reference, free text using printable characters, max. 32 characters. It is used as link for a trade in an external system. SWIFT requires the Participant ref to send SWIFT payment instructions and confirmations for example the BIC.
Consideration	Consideration /settlement amount is calculated from yield by the system when Calculate is selected, but can be overwritten by the user (0 is allowed). The entered number of decimals must be the same as in the default value 0.00 displayed in the field.

Appendix 13.	FIS Field Descriptions
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Field Names	Description
Participant Informatio	n
Annual Interest	Annual interest rate of the FIS.
Description	Description of the FIS.
Override Sub Acct Priority	One of the following: Active, deferred or priority. Specify the priority of the settlement instruction has relative to the other instructions.
Override Cash Rec. Priority	One of the following: Active, deferred or priority. Specify the priority of the settlement instruction has relative to the other instructions
Sub Participant	Automatically displayed sub participant for the user that logged in; it can be changed if acting in a Proxy relationship. This will be the party to whom the trade will be registered.
Counterpart	Specify an opposite party to the trade.
	Type to select a particular counterpart, a valid exchange customer or select it from the pull-down menu.
	There is a space between the parts of the identification.
	AC - 2 characters
	Participant Mnemonic - 4 characters
	Sub Participant Code - 2 characters.
	If the user only enters the Participant Mnemonic, the system automatically inserts the AC Prefix.
	AC - 2 characters
	Participant Mnemonic - 4 characters
	Sub Participant Code - 2 characters.
Trade Information	
Series	Specify an existing series to trade, or select it from the pull-down menu. Either Series or ISIN must be specified. Alternatively if the Maturity Date is selected, the Series List will only show series for that maturity date.
ISIN	Instrument series' ISIN.
	Specify a valid ISIN to identify the instrument series, or select it from the pull-down menu. Either Series or ISIN must be specified.
Maturity Date	Automatically displayed or entered value.
	Specify a maturity date or select from the pull-down menu. The value must be equal to the instrument series expiration date.
lssuer	Automatically displayed or entered value.
	Specify an issuer or select from the pull-down menu.
Side	Select trade side option:
	Buy - buy side
	Sell - sell side
	Default = Buy.
Defer Settlement	For Seller only, select: Yes No
Trade Date	Original registration date and time for the trade. Participants may backdate the trade date on a trade by trade basis.
	Enter a date, current business date or earlier. Default is current business date.
Settlement Date	Settlement date/value date; date for delivery/settlement. The date must be a valid settlement date according to CDB. Participants may forward date the trade date on a trade by trade basis.
	Enter a date, current business date or later. Default is current business date.
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Field Names	Description
Face Value	 Face value; the value of a bond, note or other security as printed on the document. Throughout the lifetime of a security its market price fluctuates but at maturity date the face value is payable. Enter face value. When entering the value, the following abbreviations are available: K - for thousand T - for thousand M - for million. For example, 12.5M is equal to 12,500,000.00. The entered number of decimals must be the same as in the default value 0.00 displayed in the field. The maximum value is configurable up to 10 billion.
Yield	Enter a yield within 0 to 100. The entered number of decimals must be the same as in the default value 0.00 displayed in the field.
Sub Participant	Automatically displayed organisation unit within the participant for the user that logged in.
Sub Account	If Yes is selected for SSI, the sub account value is automatically specified. Otherwise specify the code which can be up to 24 characters. It can also be selected from the scroll list. The scroll list contains cash records dedicated to the participant specified in the Account field.
Cash Record	If Yes is selected for SSI, the cash record value is automatically specified. Otherwise specify the code which can be up to 24 characters. It can also be selected from the scroll list. The scroll list contains cash records dedicated to the participant specified in the Account field.
Settlement Informatio	n
Payment Settle	Select either Yes or No. The default = Yes. For foreign currency, Yes is only available if the participant is a SWIFT participant with BIC identification. The system validates the consideration amount: Yes - and if the consideration amount is greater than 0, a payment will be performed using a DvP instruction for SWIFT or CSD. No - or if the consideration amount is 0, a Free Of Payment (FOP) delivery will still be performed.
Settle Currency	Automatically displayed settlement currency code for the instrument class of the series.
Information	Enter participant information, free text using printable characters, max. 80 characters.
Consideration	Consideration/settlement amount is calculated from yield by the system when Calculate is selected, but can be overwritten by the user (0 is allowed). The entered number of decimals must be the same as in the default value 0.00 displayed in the field.
PPH	Price per Hundred. Bond price including accrued interest is calculated by the system when Calculate is selected.
Use SSI	Select Yes or No. The default = Yes. If the SSI field is Y, it indicates that the trade will settle via the default Cash Record/Sub Account. To select an alternative Cash record and/or Sub Account on a transaction by transaction basis, select N. If a Standard Settlement Instruction (SSI) is defined for the account and instrument (Participant \rightarrow SSI) the parties have the option to use or not to use it for a certain trade.
	Yes - the SSI is used and settlement instruction is retrieved from the SSI item No – The SSI must be manually selected from the Internal trade details.

Appendix 14. FX Field Descriptions

Field Names	Description
Participant Information	
Sub Participant	Automatically displayed sub participant for the user that logged in; it can be changed if you are acting in a Proxy relationship. This is the party to whom the trade will be registered.
Counterpart	Specify an opposite party to the trade. Type to select a particular counterpart, a valid exchange customer, or select it from the pull-down menu. There is a space between the parts of the identification. AC - 2 characters Participant Mnemonic - 4 characters Sub Participant Code - 2 characters If the user only enters the Participant Mnemonic, the system automatically inserts the AC Prefix.
Trade Information	
Trade Date Settlement Date	Original registration date and time for the trade. Enter a date, current business date or earlier. The default is the current business date. Settlement date/value date; date for delivery/settlement. The date must be a valid settlement date according to CDB.
	Enter a date, current business date or later. The default is the current business date.
Exchange Rate	Specify exchange rate between the buy and sell currencies.
Sub Participant	Automatically displayed organisation unit within the participant for the user that logged in.
Method Dealt	 Select a method option from the pull-down menu: DIRECT BROKER REUTERS TELERATE TELEX.
Amount	Specify amount of currency to buy and to sell from the pull-down menu. Both trade sides are mandatory.
Currency	Select a currency code to buy and to sell from the pull-down menu. Both trade sides are mandatory.
Use SSI	 Select Yes or No. The default = Yes. If a Standard Settlement Instruction (SSI) is defined for the Sub participant and instrument (Participant → SSI) the parties have the option to use or not to use it for a certain trade. Yes - the SSI is used and settlement instruction is retrieved from the SSI item No - a manual settlement instruction is used specifying this manually.
Settlement Instruction	Enter free text for the buy and sell sides, manually describing settlement instead of using the SSI max. of 120 characters. The sell trade side is mandatory if SSI is not used for the buy side.
Settlement Informati	on
Settle Domestic Currency	 Select Yes or No. The default = Yes. Options how to settle the domestic currency leg, AUD: Yes - the domestic currency leg will be netted before settlement No - an individual delivery record will be created for the domestic currency leg.

Field Names	Description
	Note : When settling any domestic FX trades, confirmation can be performed from any of the underlying trades. However, it is recommended that confirmation is done from the DvP Instruction screen as this shows the final netted amount.
Domestic Currency	Currency code for the domestic currency, AUD.
Settle Foreign Currency	 Select Yes or No. The default = No. Options how to settle the foreign currency leg or legs: Yes - the foreign currency leg (or legs) will be settled via SWIFT No - individual delivery records will be created for the foreign currency legs.
Information	Enter participant information intended for the counterparty, free text, max. 80 characters.
Sub Participant Ref	Enter participant reference, free text using printable characters, max. 32 characters. It is used as a link for a trade in an external system. SWIFT requires the participant ref to send SWIFT payment instructions and confirmations, for example the BIC.

Field Names	Description	
Participant Informati	Participant Information	
Sub Participant	Automatically displayed sub participant for the user that logged in; it can be changed if you are acting in a Proxy relationship. This is the party to whom the trade will be registered.	
Counterpart	 Specify an opposite party to the trade. Enter a particular counterpart, a valid exchange customer or select it from the pull-down menu. There is a space between the parts of the identification: AC - 2 characters Participant Mnemonic - 4 characters Sub Participant Code - 2 characters. If the user only enters the Participant Mnemonic, the system automatically inserts the AC Prefix. 	
Trade Information		
Series	Specify an existing series to trade, or select it from the pull-down menu. Either Series or the ISIN must be specified.	
ISIN	Instrument series ISIN. Specify a valid ISIN to identify the instrument series, or select it from the pull-down menu. Either Series or ISIN must be specified.	
Coupon Rate	Automatically displayed or entered value. Specify a coupon rate value, or select it from the pull-down menu.	
Maturity Date	Automatically displayed or entered value. Specify a maturity date, or select it from the pull-down menu. The value must be equal to the instrument series expiration date.	
Underlying	Automatically displayed or entered value. Enter underlying long name, or select it from the pull-down menu.	
Issuer	Automatically displayed or entered value. Specify an issuer, or select it from the pull-down menu.	
Side	Select trade side option, Buy or Sell. The default = Buy.	
Defer Settlement	For Seller only, select: Yes No	
Trade Date	Original registration date and time for the trade. Enter a date, current business date or earlier. The default is the current business date.	
1st Trans Date	First transaction date, date for delivery/settlement set for the first leg when the deal is generated. The date must be a valid settlement date according to CDB and the date must not exceed the maturity date of the traded instrument series. Enter a date, current business date or later. The default is the current business date.	

Appendix 15. Market Repos Field Descriptions

Field Names	Description
2nd Trans Date	2nd transaction date, date for delivery/settlement set for the second leg when the
	deal is generated.
	The date must be a valid settlement date according to CDB and must not exceed the maturity date of the traded instrument series.
	Enter a date equal to or later than the first transaction date. The default = blank>.
	If a value is entered, the number of days are automatically calculated and displayed.
	Note: The system determines the Repo type by validating the entered value. The
	type will be assigned to the Repo item.
	Repo type options:
	• Fixed term - if the 2nd transaction date is later than the 1st
	 Intraday - if the 2nd transaction date is equal to the 1st
	At call - if the 2nd transaction date is <blank>.</blank>
Face value	Face value of the Repo.
	Enter face value. When entering the value, the following abbreviations are available: K - for thousand
	T - for thousand
	M - for million.
	The entered number of decimals must be the same as in the default value 0.00
	displayed in the field.
	The maximum value is configurable up to 10 billion.
	For example, 12.5M is equal to 12,500,000.00.
Yield	Enter a yield within 0 to 100.
	The entered number of decimals must be the same as in the default value 0.00 displayed in the field.
Cash Rate	Enter a cash rate for the Repo trade within 0 to 100.
	The entered number of decimals must be the same as in the default value 0.00 displayed in the field.
Settle Currency	Automatically displayed settlement currency code for the instrument class of the series.
Sub Participant	Automatically displayed organisation unit within the participant for the user that logged in.
Use SSI	Select Yes or No. The default = Yes.
	If a SSI is defined for the Sub participant and instrument (Participant \rightarrow SSI) the parties have the option to use or not to use it for a certain trade.
	Yes - the SSI is used and settlement instruction is retrieved from the SSI item
	No - a content of the settlement instruction must be specified manuallybelow.
Sub Account	If SSI Yes is selected, the sub account value is automatically specified, otherwise specify the code, up to 24 characters.
	It can also be selected from the pull-down menu. The pull-down menu contains cash records dedicated to the participant specified in the Account field.
Cash Record	If SSI Yes is selected, the cash record value is automatically specified, otherwise specify the code, up to 24 characters.
	It can also be selected from the pull-down menu. The pull-down menu contains cash records dedicated to the participant specified in the Account field.
Novation	Select novation option:
	• Yes - both parties are validated against the <novation allowed="" flag=""> in the Customer Legal Instrument Type in CDB. Also the series must be validated against the <novation allowed="" flag=""> in CDB. The trade is a BRC trade.</novation></novation>
	• No - no novation is performed.
	The default = No.
Margin Ratio	Enter a three digit integer for margin ratio/haircut, 0-9. The value is only used as information not for calculations.

Field Names	Description
Settlement Informat	ion
Payment Settle	 Select Yes or No. The default = Yes. The system validates the consideration amount. Yes - and if the consideration amount is greater than 0, a payment will be performed using a DvP instruction for SWIFT or CSD No - or if the consideration amount is 0, a Free Of Payment (FOP) delivery will
Sell Settle Instruction	still be performed. Enter free text for the sell side, manually describing settlement instead of using the SSI max. 120 characters. This is recommended if SSI = No and Payment settle = No. Alternatively, if SSI = Yes, Payment settle = No, and an SSI including settlement instruction is defined, this settlement instruction is used and displayed in the field. External interfaces and foreign currency trades require Settle instructions to instruct the payer where to pay the funds. The SWIFT interface uses the Participant ref. for identification.
Information	Enter participant information, free text using printable characters, max. 80 characters.
Sub Participant Ref	Enter participant reference, free text using printable characters, max. 32 characters. It is used as a link for a trade in an external system. SWIFT requires the Participant ref to send SWIFT payment instructions and confirmations for example the BIC.
Consideration	Consideration/settlement amount is calculated from yield by the system when Calculate both Considerations is selected, but can be overwritten by the user (0 is allowed). The entered number of decimals must be the same as in the default value 0.00 displayed in the field.
Unwind Consideration	 Consideration /settlement amount for the 2nd leg, is calculated by the system when Calculate both considerations button is selected according to the following Repo type calculation options: Fixed term - a value is calculated based on the number of days between the 1st and 2nd transaction dates Intraday - a value must be entered by the user At call - a value is calculated assuming that the Repo will unwind the next business date. If a Consideration value is entered manually to calculate a new Unwind Consideration value based on the entered consideration value, Calculate Unwind Consideration must be selected.

Field Names	Description	
Payment Instruction		
Currency	The currency in which the repo is payable.	
Cash Record	The cash record to be debited or credited.	
Security Instructions	;	
Series	An instrument eligible to include in a security instruction of an RBA repo under a specific rule.	
Issuer	The issuer of the series included in the repo.	
Full Name Issuer	The name of the issuer.	
Volume	The size of the delivery. It cannot be negative.	
Sub Account	The sub account that the loan should be put to. This is also the sub account that the loan will be returned from.	
Calculated Payment Amount	The amount to be paid out in connection with the repo, as calculated by clicking Calculate.	
Public Information		
Participant	Short name that uniquely identifies the participant to whom the RBA repo belongs to.	
Public Comment	Informative free-text description of the RBA repo.	
Internal Information		
Override Cash Record Priority	Indicates the priority the instruction of the delivery of payments has relative to other instructions.	
Ouenide Out Assessed	One of the following: Priority, Active or Deferred.	
Override Sub Account Priority	Indicates the priority the instruction of the delivery of securities has relative to other instructions.	
,	One of the following: Priority, Active or Deferred.	
Participant Reference	Optional reference to other internal systems. Set by the participant.	
Internal Comment	Free-text field.	
Current Repo Rule		
Current Reference Price	Reference price specified for the specified collateral series.	
Current Margin Ratio	Margin ratio specified for the collateral.	
Current Penalty Interest	Penalty interest specified for the collateral.	

Appendix 16. RBA Repos Field Descriptions

Field Names	Description	
Renegotiation	Fields	
1st Trans date	1st transaction date, date for delivery/settlement set for the 1st leg displayed only.	
2nd Trans date	2nd transaction date, date for delivery/settlement set for the 2nd leg when the deal is generated. The date must be a valid settlement date according to CDB and the date must not exceed	
	the maturity date of the traded instrument series. Enter a date equal to or later than the 1st transaction date. Default = <blank> If a value is entered the number of days are automatically calculated and displayed. Attention - The system determines the Repo type by validating the entered value. The type will be assigned to the Repo item.</blank>	
	Repo type options: • Fixed term	
	If the 2nd transaction date is later than the 1st Intraday 	
	If the 2nd transaction date is equal to the 1st At call 	
	If the 2nd transaction date is <blank>.</blank>	
Cash rate	Enter a new cash rate for the Repo trade within 0 to 100. The entered number of decimals must be the same as in the default value 0.00 displayed in the field.	
Settlement instruction	Enter free text for the sell side, manually describing settlement instead of using the SSI max. 120 characters, opened for editing if SSI = No and Payment settle = No.	
Effective date	Date and time for the transaction to be executed.	
	Enter a date current business date or next, not later than settlement date.	
Unwind Fields		
Face value	Face value; the value of a bond, note or other security as printed on the document; throughout the lifetime of a security its market price will fluctuate but at maturity date the face value is payable.	
	Enter a new face value. When entering the value, the following abbreviations are available: K - for thousand	
	T - for thousand M - for million	
	The entered number of decimals must be the same as in the default value 0.00 displayed in the field.	
	The maximum value is configurable up to 10 billion. Example: 12.5M is equal to 12,500,000.00	
Use SSI	Select either Yes or No. Default = Yes. If a Standard Settlement Instruction (SSI) is defined for the sub participant and instrument (Participant \rightarrow SSI) the parties have the option to use or not to use it for a certain trade. Yes - the SSI is used and sub account and cash record are retrieved from the SSI item No - sub account and cash record must be specified manually below.	
Sub account	If SSI Yes is selected, the sub account value is automatically specified otherwise specify the code, up to 24 characters.	
	Or select it from the scroll list. The scroll list contains cash records dedicated to the participant specified in the Account field.	
Cash record	If SSI Yes is selected, the cash record value is automatically specified otherwise specify the code, up to 24 characters:	
	Or select it from the scroll list. The scroll list contains cash records dedicated to the participant specified in the Account field.	

Appendix 17. Renegs/Unwinds Field Descriptions

Field Names	Description
Unwind consideration	Consideration /settlement amount for the 2nd leg, is calculated by the system when Calculate Unwind Consideration button is selected according to the following Repo type calculation options:
	Fixed term - a value is calculated based on the number of days between the 1st and 2nd transaction dates
	Intraday - a value must be entered by the user
	At call - a value is calculated assuming that the Repo will unwind the next business date.
Effective date	Date and time for the transaction to be executed.
	Enter a date, current business date or next, not later than settlement date.

Field Names	Description
Settlement Obligation No	A sequence number set by the system, identifying the obligation.
Sub Account Priority	Indicates the priority the instruction of the delivery of securities has relative to other instructions. One of the following: Priority, Active or Deferred.
Cash Priority	Indicates the priority the instruction of the delivery of payments has relative to other instructions. One of the following: Priority, Active or Deferred.
Security Locked In	A flag indicating if the securities have been locked-in.
Cash Locked In	A flag indicating if the cash has been locked-in.
Series	The series code.
ISIN	A unique identification of securities. Stands for International securities identification numbering system.
Volume	The size of the delivery. It cannot be negative.
Payment Amount	The size of the payment. It cannot be negative.
Currency	The currency in which the payment will be done.
Settlement Date	The date that the obligation will be settled.

Appendix 18. Queue Management Field Descriptions

Appendix 19.	Pledges Field Descriptions
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Field Names	Description	
Public Settlement De	etails	
Pledgor	The borrower.	
Pledgee	The lender.	
Settlement Date	The date and time the settlement is carried out.	
Pledgee Reference	XXX.	
Rate/Public Comments	Informative free-text description of the pledge.	
Internal Settlement	Details	
Override Sub Account Priority	Overrides the priority the instruction of the delivery of securities has over other instructions. One of the following: Priority, Active or Deferred.	
Override Cash Record Priority	Overrides the priority the instruction of the delivery of payments has over other instructions. One of the following: Priority, Active or Deferred.	
Sub Participant Reference	Optional reference to other internal systems. Set by the sub participant.	
Internal Comments	Free-text field.	
Pledges		
+/-	Specify that the involved sub account should be debited (-).	
Series	Security pledged as collateral.	
Series Description	Short description of the series.	
Volume	The size of the delivery. It cannot be negative.	
Full Name Issuer	The name of the issuer of the series.	
Sub Account	Sub Account where securities are encumbered.	
Priority	The priority of the collateral.	
Payment Instruction		
+/-	Specify whether the involved cash record should be debited (-) or credited (+).	
Amount	The size of the payment.	
Currency	Identifies the currency that is valid.	
Cash Record	The cash record to be debited or credited.	
Priority	The priority of the payment instruction.	

Appendix 20. Document Version Control

Date	Version	Change
10/07/2015	V1.0	Document created in new format for Exigo Insourcing project.
30/05/2020	V1.1	Document updated with Deferred Settlement Functionality
01/03/2021	V1.2	Document updated with Linked Settlement Functionality

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