



# Securities Lending Reporting

User notes for submitting Borrowed, Loaned and Committed Securities information via ASX Online

November 2013

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# 1 Introduction

## 1.1 About this Guide

This manual has been designed as a practical, user-friendly Reference Guide for the ASX Securities Lending direct reporting facility. This guide includes details/instructions on how to:

- Access the Securities Lending reporting facility;
- Submit Securities Lending information;
- Perform a search on historical data you have submitted;
- Perform a search on historical aggregated reports for the market.

ASX Clearing and Settlement Operations can be contacted on **1800 814 051** if you have any queries regarding the content of this guide.

## 2 ASX Securities Lending Reporting Facility

This service facilitates the reporting of Securities Lending data directly to ASX using [www.asxonline.com](http://www.asxonline.com).

The following points summarise the steps involved when using the facility. These are described in more detail in the remainder of this document:

1. Access the facility via <https://www.asxonline.com>.
2. Select one of the following links:
  - (a) **“Security lending positions”** for **daily** submission of borrowed and loaned stock volumes
  - (b) **“Securities committed to a lending program”** for the **quarterly** submission of the volume of each stock committed to a lending program.
  - (c) **“Registering as a Securities Lending Participant”** to provide a record as to whether your firm participates in Securities Lending activity. Note you only need to make this selection once (for either a daily, quarterly or yearly basis) and it will stand until a new election is made.
3. If either (a) or (b) were selected above then the user must then select a mode for submitting Securities Lending data – i.e. either:
  - Import the data from a comma separated (csv) file; OR
  - Manually enter the data.

Then, if required, a user has the option to view and modify the data to be submitted on screen before submitting the final report.

4. If option (c) above was chosen, the user may view their current election of whether they are (or are not) a Securities Lending Participant and if they wish, may choose to change this election.

## 2.1 Prior to submitting Securities Lending information

Before you commence submitting Securities Lending information you will require:

- Access to the Internet;
- An ASX Online User Name and Password;
- An ASX Online Company PIN.

If you do not have an ASX Online User Name, Password or Company PIN, please contact the ASX Online administrator in your firm. They will provide you with these details. If you do not know who your ASX Online administrator is, or are not a Participant of ASX, please contact the ASX Online Help Desk on 1800 682 484 or via email at [ASX.Online@asx.com.au](mailto:ASX.Online@asx.com.au).

### 3 ASX Securities Lending Reporting Facility – Daily Positions

This facility is provided for firms that have registered as Securities Lending Participants to submit to ASX on a **daily** basis their volume of borrowed and loaned positions. Firms that are **not** registered as Securities Lending Participants need not submit this information.

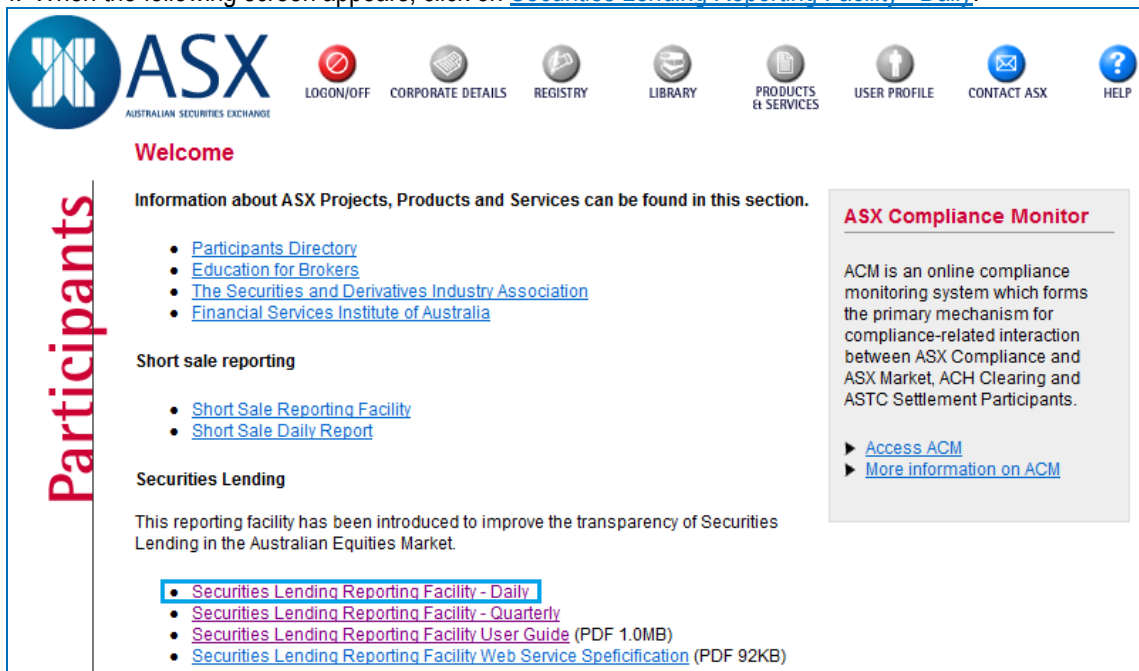
1. Start your web browser;
2. Access the ASX Online website by entering the following web address in the Address field:  
<https://www.asxonline.com>



3. Click on the Participant icon:



4. When the following screen appears, click on [Securities Lending Reporting Facility - Daily](#):



5. Sign onto the Securities Lending Reporting system using the ASX online user name and password provided by your firm's ASX online administrator.

**Create a shortcut to this web page:**

- Using your mouse, right-click anywhere on the page;
- Select Create Shortcut;
- A shortcut to this page will be placed on your Desktop;
- Alternatively, you may add this web address to your Favorites on your Internet Explorer.

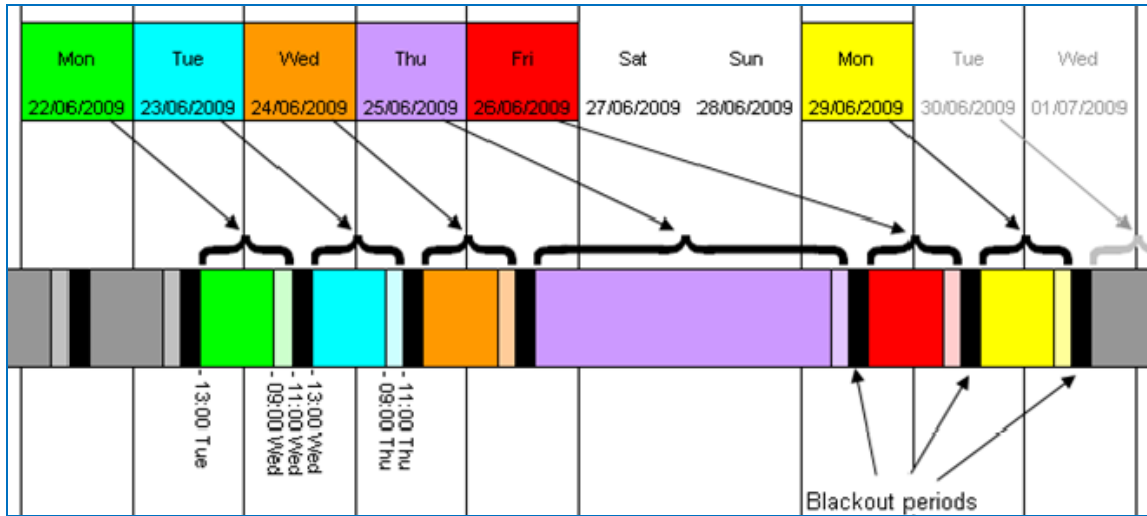
**Already Logged On**

- If you are already logged on, this step will be omitted as you have already been authenticated by the system.

6. Upon successful login, the following screen is displayed where you could report your **daily** positions:

Note carefully the date at the top of the page once you are in this screen. There is a requirement that the daily borrowed/loaned stock information must be reported by 9:00am the **second** business day **after** the 'as at' date. For example, the deadline for external parties to report for Wednesday 24th June 2009 would be 9:00am on Friday the 26th June 2009. The deadline for external parties to report for Friday 26<sup>th</sup> June 2009 would be 9am on Tuesday the 30<sup>th</sup> June 2009.

A graphical illustration of the example above is provided:



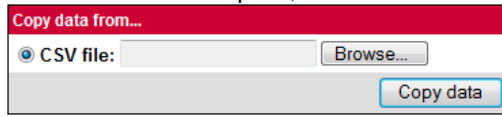
**Note:** For Daily Position reporting you cannot report on more than one day at the same time. The facility only provides a “rolling window” at any one time for a single specific day that is to be reported by all users.

7. Your Securities Lending data may be submitted by using one of the following 2 options available:
  - A. Import the data from a comma separated (csv) file; OR
  - B. Manually enter the data.

**Note:** Do not proceed if an error message is displayed in red at the top of this screen. Refer to section - **Error Messages and Trouble-Shooting** in this document for an explanation of the error and possible causes.

**Option A: Import the data from a comma separated (csv) file**

- i. Select the 'CSV file' option;



- ii. Click 'Browse'. This will take you to your PCs explorer;
- iii. Select the required file. The file must be saved as a .csv file format. Blank lines and blank cells are not accepted;

**Outstanding Borrowed/Loaned Positions for 10/09/2013**  
ASX Clear Pty Limited

You may enter your positions by:

- copying the data from a CSV file
- manually entering the data

Outstanding borrowed/loaned positions

Not submitted

Row 1 must be the date in DD/MM/YYYY format

Row 2 must state either "ISIN" or "ASX\_CODE" to indicate how securities are being identified in the file

	A	B	C
1	DD/MM/YYYY		
2	<FILE-TYPE - [ISIN   ASX_CODE]>		
3	<asx code or isin>	<borrowed-volume>	<loaned-volume>
4	<asx code or isin>	<borrowed-volume>	<loaned-volume>
5	<asx code or isin>	<borrowed-volume>	<loaned-volume>
6	<asx code or isin>	<borrowed-volume>	<loaned-volume>
7			

Row 3 onwards must contain 3 fields separated by commas being:

- 1) Either the ISIN or ASX Code for each security in which there was either borrowed or loaned stock;
- 2) The volume of borrowed stock; and
- 3) The volume of loaned stock.

- iv. Click 'Open';
- v. Click 'Copy data'. This will import the data contained in the selected csv file and display it on the screen.

**Note:**

- The file type designation in Row 2 is **mandatory**;
- Quantities must be entered in Column B, commencing at row 3;
- Zero volumes in both Columns B and C are not accepted;
- Any formatting, including leading negative indicators ('-'), commas as thousand separators or decimals, is not accepted;
- File name should not be longer than 30 characters including the ".csv" extension, which is mandatory.

**Examples:**

Example of a file containing ISINs

```

24/07/2009
ISIN
AU000000BHP4,12,13
```

Example of a file containing ASX Codes

```

24/07/2009
ASX_CODE
BHP,12,13
```





10. Upon successful submission of your Securities Lending positions, a system message is displayed and the “Outstanding borrowed/loaned positions” gets updated to “Submitted”:

The screenshot shows the ASX Clear Pty Limited interface for 'Outstanding Borrowed/Loaned Positions for 26/09/2013'. A red banner at the top of the main content area states: 'Your Security Lending positions have been successfully submitted.' Below this, instructions are provided for entering positions: 'You may enter your positions by: copying the data from a CSV file' and 'manually entering the data'. A central box displays 'Outstanding borrowed/loaned positions' in red, with 'Submitted on 30/09/2013 10:29:08' below it. An 'Enter PIN:' field and a 'Delete report' button are also visible. On the right, a sidebar contains links for 'Additional Features', 'Security lending positions', 'Securities committed to a lending program', 'Registering as a Securities Lending Participant', and 'User notes'. The top navigation bar includes icons for HOME, LOGON/OFF, CORPORATE DETAILS, REGISTRY, LIBRARY, PRODUCTS & SERVICES, USER PROFILE, CONTACT ASX, and HELP.

If an error occurs when executing this step, the error text will be displayed in red at the top of this screen. Refer to the section - **Error Messages and Trouble-Shooting** in this document for explanation of the errors and possible solutions.

**Note:**

- To amend previously submitted data for the current day, a user can simply follow the normal submission steps;
- If data is submitted twice on the same day for the same security, ASX will **not** aggregate data submitted multiple times but simply assume that newly submitted data **replaces** the old;
- If newly submitted data is only a subset of the previously submitted data – i.e. if there was data submitted previously for additional securities – the previously submitted data will be **deleted**;
- If you continue to experience problems when uploading your Securities Lending report, please contact Clearing and Settlement Operations at **1800 814 051** for further assistance.

11. To get to the Quarterly submission screen from this Daily screen, click on the Securities committed to a lending program link:

This screenshot is similar to the previous one but for the date '10/09/2013'. The 'Securities committed to a lending program' link in the right-hand sidebar is highlighted with a blue rectangular box. The rest of the interface, including the submission message and navigation elements, remains the same.

## 4 ASX Securities Lending Reporting Facility – Quarterly Positions

This facility is provided to allow firms that have registered as Securities Lending Participants to submit to ASX on a quarterly basis the volume of each stock committed to the securities lending program. Firms that are **not** registered as Securities Lending Participants need not submit this information.

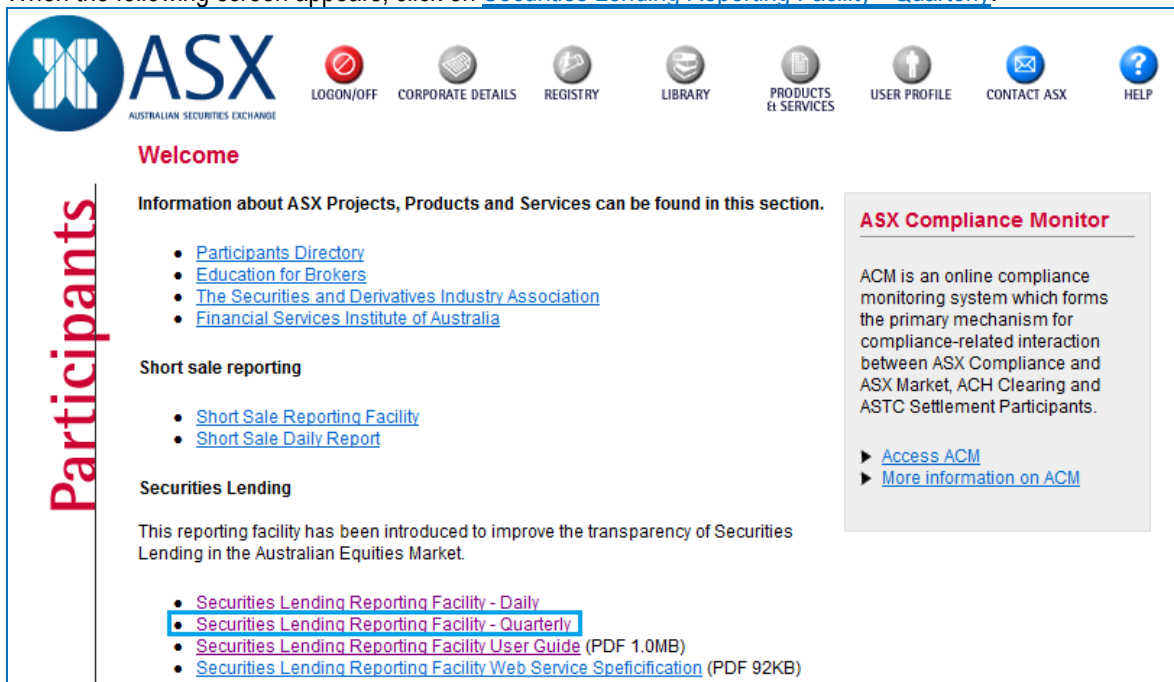
1. Start your web browser;
2. Access the ASX Online website by entering the following web address in the Address field:  
<https://www.asxonline.com>



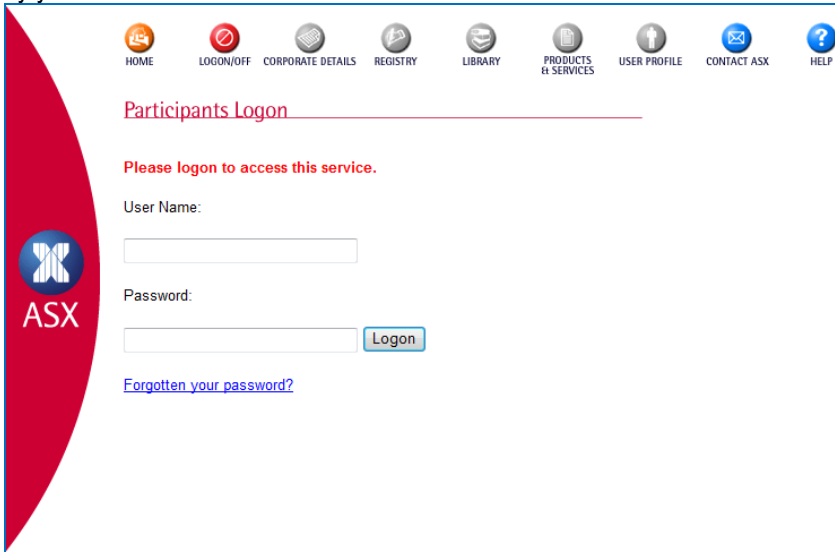
3. Click on the Participant icon:



4. When the following screen appears, click on [Securities Lending Reporting Facility - Quarterly](#):



5. Sign onto the Securities Lending Reporting system using the ASX online user name and password provided by your firm's ASX online administrator.



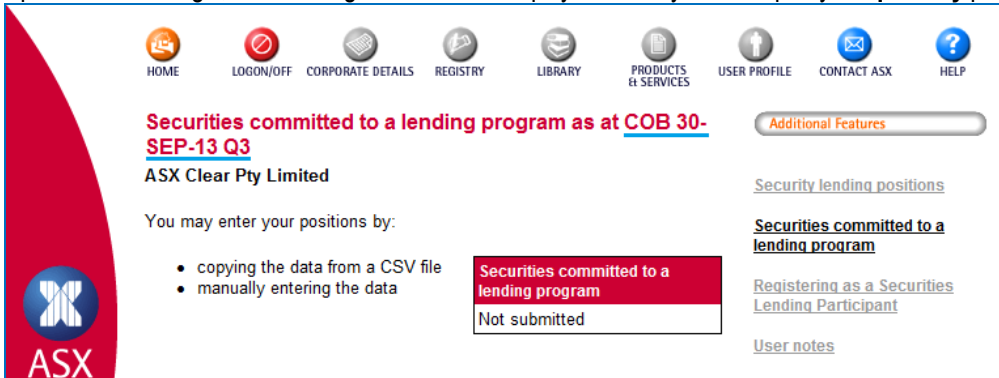
**Create a shortcut to this web page:**

- Using your mouse, right-click anywhere on the page;
- Select Create Shortcut;
- A shortcut to this page will be placed on your Desktop;
- Alternatively, you may add this web address to your Favorites on your Internet Explorer.

**Already Logged On**

- If you are already logged on, this step will be omitted as you have already been authenticated by the system.

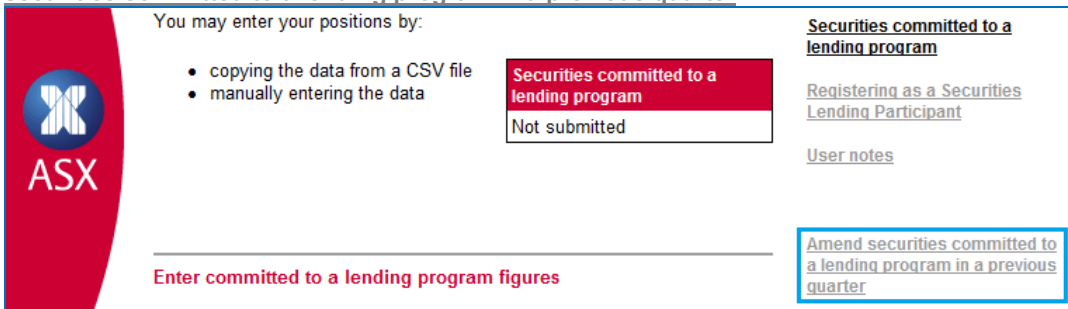
6. Upon successful login, the following screen will be displayed where you can report your **quarterly** positions:



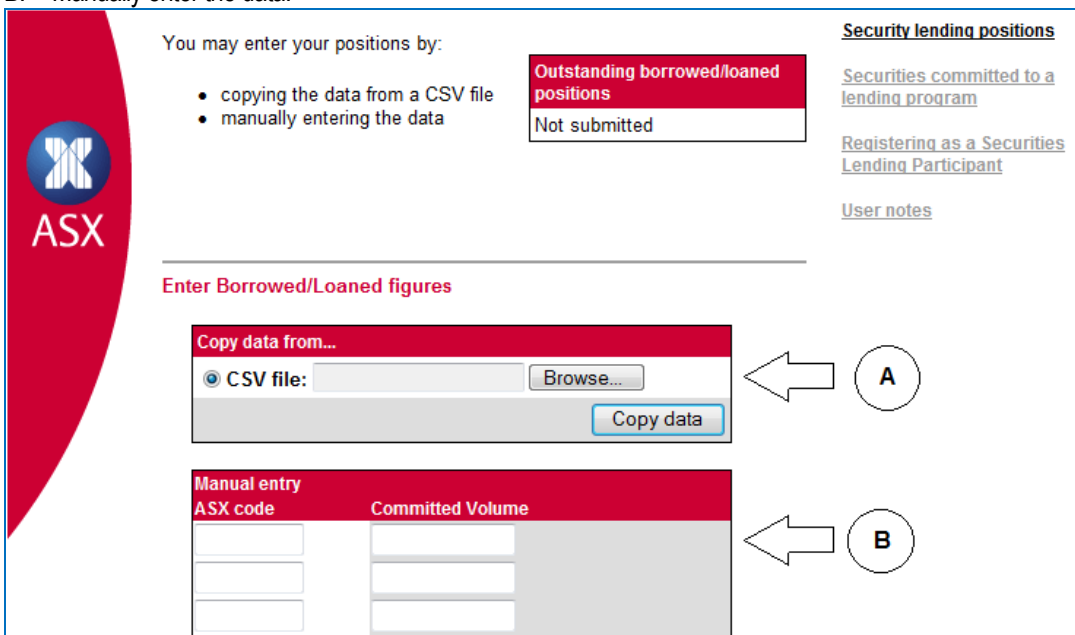
Note carefully the quarter indicated at the top of the page once you have selected the [Securities Lending Reporting Facility – Quarterly](#) link. In the example above the committed data is being submitted for Quarter 3, 2013 – i.e. the quarter ending 30th September 2013.

Per ASX Business Rules, committed stock information must be reported by 9:00am on the third business day of each quarter. For example, the deadline for external parties to report for the September 2013 quarter (which ends on Monday 30th) would be - 9:00am on Thursday the 3<sup>rd</sup> October 2013.

There is a facility provided to allow reporting for two periods during the same time. This is via the [Amend securities committed to a lending program in a previous quarter](#) link:



7. Your Securities Lending data may be submitted by using one of the following 2 options available:
- A. Import the data from a comma separated (csv) file; OR
  - B. Manually enter the data.



**Note:** Do not proceed if an error message is displayed in red at the top of this screen. Refer to section - *Error Messages and Trouble-Shooting* in this document for an explanation of the error and possible causes.

**Option A: Import the data from a comma separated (csv) file**

- i. Select the 'CSV file' option;



- ii. Click 'Browse'. This will take you to your PC's explorer;
- iii. Select the required file. The file must be saved as a .csv file format. Blank lines and blank cells are not accepted;

**Securities committed to a lending program as at COB 30-SEP-13 Q3**  
**ASX Clear Pty Limited**

You may enter your positions by:

- copying the data from a CSV file
- manually entering the data

Securities committed to a lending program

Not submitted

Row 1 must be the date in YYYY-Q format (e.g. 2013-3 for quarter ending 30-Sept-2013 or 2013-4 for quarter ending 31-Dec-2013)

Row 2 must state either "ISIN" or "ASX\_CODE" to indicate how securities are being identified in the file

	A	B
1	YYYY-Q	
2	<FILE-TYPE - [ISIN   ASX_CODE]>	
3	<asx code or isin>	<committed-volume>
4	<asx code or isin>	<committed-volume>
5	<asx code or isin>	<committed-volume>
6	<asx code or isin>	<committed-volume>
7		

Row 3 onwards must contain 2 fields separated by commas being:

- 1) Either the ISIN or ASX Code for each security in which there was committed volume;
- 2) The volume of stock committed to lending programs.

- vi. Click 'Open';
- vii. Click 'Copy data'. This will import the data contained in the selected csv file and display it on the screen.

**Note:**

- The file type designation in Row 2 is **mandatory**;
- Quantities must be entered in Column B, commencing at row 3;
- Zero volumes are not accepted;
- Any formatting, including leading negative indicators ('-'), commas as thousand separators or decimals, is not accepted;
- File name should not be longer than 30 characters including the ".csv" extension, which is mandatory.

**Examples:**

Example of a file containing ISINs

```
2009-3
ISIN
AU000000BHP4 ,12
```

Example of a file containing ASX Codes

```
2009-3
ASX_CODE
ASX,12|
```

**Option B: Manually enter the data**

- i. Manually enter the Security Codes and Volumes for all Committed stock in the 'Manual entry' section. Use the tab key or the mouse to move between cells. (Note: pressing Enter will not move you to the next cell, however, it will perform a preliminary check on the data entered so far and take you to the top of the screen);

Manual entry	
ASX code	Committed Volume
BHP	200

Enter PIN:

- ii. Click on the "Add more data>>" button to add more cells;

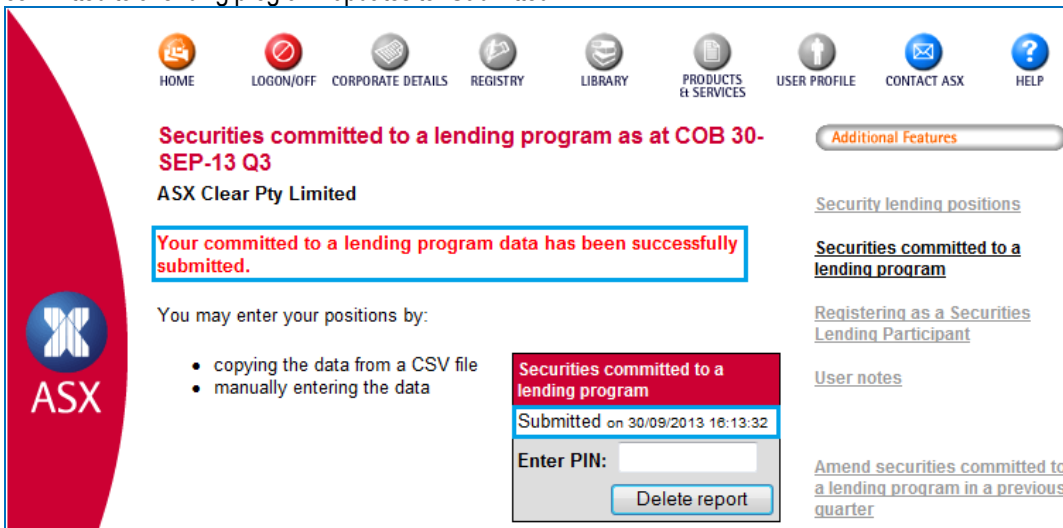
**Note:**

- Only ASX Codes are able to be entered and displayed here;
  - Volumes uploaded via ISIN codes will be 'translated' into ASX Codes when shown here.
8. Once your Securities Lending data has been entered, you may add, delete or amend any or all of the data that appears on the page. The following may be applied to modify the data:
    - A. To add additional cells for entering more data, select the "Add more data>>" button located at the bottom right-hand side of your screen;
    - B. To amend data, select the relevant cell, delete the current data and re-enter the correct data;
    - C. To delete data, highlight the relevant cell and press the delete key;
    - D. To delete all data on the page, select the "Clear page" button located on the bottom left-hand side of your screen.
  9. Once all the data is correct and ready to be submitted to ASX for processing, perform the following:
    - A. Enter your Company PIN in the "Enter PIN" field;
    - B. Click on the "Submit" button.

Manual entry	
ASX code	Committed Volume
BHP	200

Enter PIN:

10. Upon successful submission of your Securities Lending positions, a system message is displayed and the “Securities committed to a lending program” updates to “Submitted”:



The screenshot shows the ASX Securities Lending Reporting Facility interface. At the top, there is a navigation bar with icons for HOME, LOGON/OFF, CORPORATE DETAILS, REGISTRY, LIBRARY, PRODUCTS & SERVICES, USER PROFILE, CONTACT ASX, and HELP. Below the navigation bar, the main content area displays the following information:

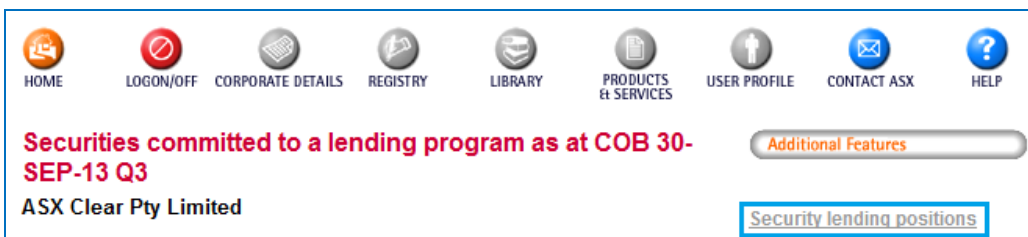
- Header: **Securities committed to a lending program as at COB 30-SEP-13 Q3**
- Company: **ASX Clear Pty Limited**
- Message: **Your committed to a lending program data has been successfully submitted.**
- Instructions: You may enter your positions by:
  - copying the data from a CSV file
  - manually entering the data
- Submission Confirmation: **Securities committed to a lending program** Submitted on 30/09/2013 16:13:32
- Form: Enter PIN:  Delete report
- Additional Features: [Additional Features](#)
- Links: [Security lending positions](#), [Securities committed to a lending program](#), [Registering as a Securities Lending Participant](#), [User notes](#), [Amend securities committed to a lending program in a previous quarter](#)

If an error occurs when executing this step, the error text will be displayed in red at the top of this screen. Refer to the section - **Error Messages and Trouble-Shooting** of this document for explanation of the errors and possible solutions.

**Note:**

- To amend previously submitted data for the current quarter, simply follow the normal submission steps;
- If data is submitted twice on the same day for the same security, ASX will **not** aggregate data submitted multiple times but assume that newly submitted data **replaces** the old;
- If newly submitted data is only a subset of the previously submitted data – i.e. if there was data submitted previously for additional securities – the previously submitted data will be **deleted**;
- To delete data previously submitted, perform the following:
  - Ensure the correct quarter is selected, i.e. showing at the top of the screen as “**...COB 30-SEP-13 Q3**”;
  - Enter your Company PIN in the “Enter PIN” field;
  - Click the “Delete report” button.
- To amend data for a **previous** quarter, click on [Amend securities committed to a lending program in a previous quarter](#) link and upload the data as described in Step 8 above;
- If you continue to experience problems when uploading your Securities Lending report, please contact Clearing and Settlement Operations at **1800 814 051** for further assistance.

11. To get to the Daily submission screen from this Quarterly screen, click on the [Security lending positions](#) link:



The screenshot shows the ASX Securities Lending Reporting Facility interface. At the top, there is a navigation bar with icons for HOME, LOGON/OFF, CORPORATE DETAILS, REGISTRY, LIBRARY, PRODUCTS & SERVICES, USER PROFILE, CONTACT ASX, and HELP. Below the navigation bar, the main content area displays the following information:

- Header: **Securities committed to a lending program as at COB 30-SEP-13 Q3**
- Company: **ASX Clear Pty Limited**
- Additional Features: [Additional Features](#)
- Link: [Security lending positions](#)



## 5 ASX Securities Lending Reporting Facility – Registration

This facility is provided to allow firms to indicate to ASX that they are Securities Lending Participants, or to signify that they are no longer Securities Lending Participants.

**Note:** You only need to make this selection once (for either a daily, quarterly or yearly basis) and it will stand until a new election is made.

To register as a Securities Lending Participant, perform the following:

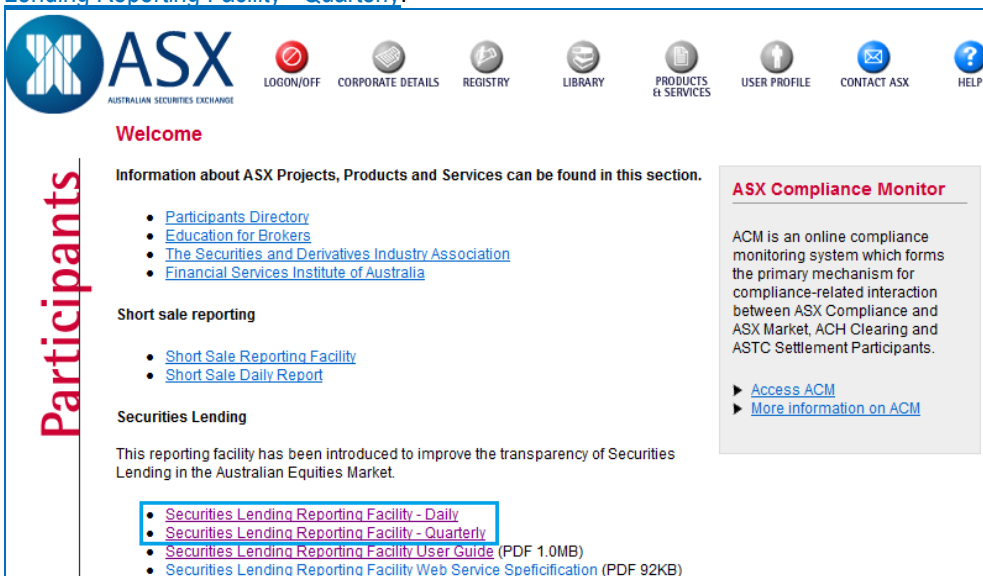
1. Start your web browser;
2. Access the ASX Online website by entering the following web address in the Address field:  
<https://www.asxonline.com>



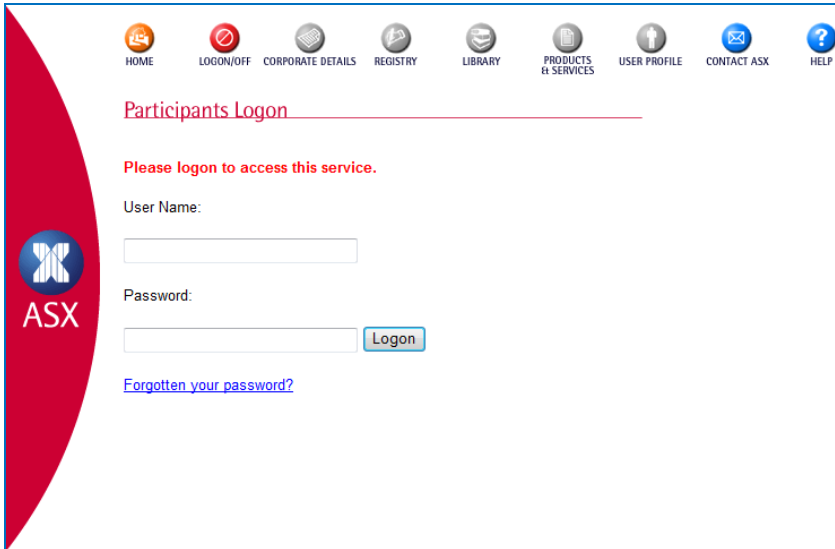
3. Click on the Participant icon:



4. When the following screen appears, click on either [Securities Lending Reporting Facility – Daily](#) or [Securities Lending Reporting Facility - Quarterly](#):



5. Sign onto the Securities Lending Reporting system using the ASX online user name and password provided by your firm's ASX online administrator.



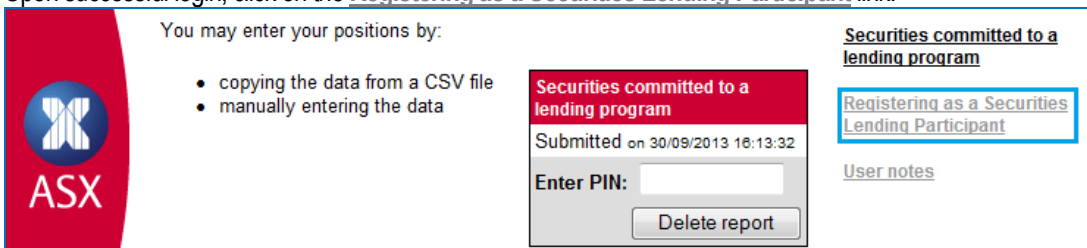
**Create a shortcut to this web page:**

- Using your mouse, right-click anywhere on the page;
- Select Create Shortcut;
- A shortcut to this page will be placed on your Desktop;
- Alternatively, you may add this web address to your Favorites on your Internet Explorer.

**Already Logged On**

- If you are already logged on, this step will be omitted as you have already been authenticated by the system.

6. Upon successful login, click on the Registering as a Securities Lending Participant link:



7. Your firm's current election as a Securities Lending Participant is indicated on the screen:



8. To change your firm's current election, perform the following:
  - Click on the option matching your selection;
  - Enter your Company PIN in the "Enter PIN" field;
  - Click on the "Certify" button;
  - Upon successful registration, a "Your Security Lending registration has been successfully submitted" message appears:

The screenshot displays the ASX Securities Lending Reporting Facility interface. At the top, there is a navigation menu with icons for HOME, LOGON/OFF, CORPORATE DETAILS, REGISTRY, LIBRARY, PRODUCTS & SERVICES, USER PROFILE, CONTACT ASX, and HELP. The main heading is "Registering as a Securities Lending Participant" with an "Additional Features" button. Below this, the user is identified as "ASX Clear Pty Limited".

The interface shows a registration form with two radio button options: "is a Securities Lending Participant" (selected) and "is not a Securities Lending Participant". Below the form is an "Enter PIN:" field with a masked input and a "Certify" button. A red box highlights the "Certify" button.

Upon clicking "Certify", a success message is displayed: "Your Security Lending registration has been successfully submitted." This message is highlighted with a red box. A red box also highlights the "Registered as a Securities Lending Participant" status, which shows "Yes (30/09/2013 17:15:26)".

Additional links on the right side include "Security lending positions", "Securities committed to a lending program", and "Registering as a Securities Lending Participant".

## 6 Error Messages and Trouble-Shooting

If an error is encountered at any stage throughout the process a message will be displayed in red at the top of the screen. An error message may display when:

- The user clicks on Browse and selects their file;
- The user imports the data from the file by selecting **Copy data**;
- The user **Submits** their positions.

A copy of the error messages (**displayed in red**) and possible reasons why the message may have appeared are described below. If you continue to experience problems after reading this section please contact Clearing and Settlement Operations 1800 814 051 for further assistance. Please provide the following details to allow ASX to complete any investigation:

- screen shot with error message;
- username;
- date and time of the error;
- file that was submitted (as attachment, please) or, in case of manual upload, data that was submitted.

***An error occurred while uploading your file. Please contact Clearing & Settlement Operations on 1800 814 051.***

- Does the original spreadsheet contain any blank cells in columns A, B or C? Blank cells between completed cells are not accepted;
- Does the original spreadsheet contain any zeroes (0) in columns A or (B and C)? Zeroes in column A are not accepted. Similarly zeroes in columns B and C for a particular row are not accepted;
- Is the quantity field formatted using commas separating the thousands and hundreds e.g. 1,000? If so;
  - Open the file in MS Excel;
  - Select the relevant cells;
  - Click on Format Cells;
  - Select the 'Number' tab;
  - Click on 'General';
  - Press OK and save the file.
- Other options may be to:
  - Open a new blank spreadsheet;
  - Select cells in columns A, B and C containing information;
  - Copy these cells;
  - Place the cursor in cell A1 of the blank spreadsheet and select Edit Paste Special under the Paste section, click on Values, click OK;
  - Check that the date format is correct. If not, change the date;
  - Save this spreadsheet as a comma separated file (.csv) by selecting File Save As ... select the option CSV (comma delimited) (\*.csv) in the Save as type: field located at the bottom of the Save As dialogue box;

***The file name is incorrect. The file must be a csv file and the file name must be less than 30 characters.***

- Is the file format of the spreadsheet comma separated (i.e. .csv file extension)?
  - To check, open the spreadsheet (it should open in Excel) and select File Save As ... the Save as type: field located at the bottom of the Save As dialogue box should display CSV (comma delimited) (\*.csv).
- How many characters does the filename have? It must not exceed 30 characters including the CSV extension which is mandatory.

***Please check the date in the first line of your file. The date must be dd/mm/yyyy or dd/mm/yy.***

- Does the date in your spreadsheet reflect the correct business day? This must be the date for which you are submitting the data. The system timing settings only allow data to be submitted as per following examples:
  - a) For **Wednesday 24th June 2009** to be submitted **between:**  
**1:00pm Thursday 25th June** and **9:00am Friday 26th June.**
  - b) For **Thursday 25th June 2009** to be submitted between:  
**1:00pm Friday 26th June** and **9:00am Monday 29th June.**

refer to graphical illustration in *Section 3 – ASX Securities Lending Reporting Facility – Daily Positions*;

- Is the date in the correct format? The system accepts dd/mm/yyyy or dd/mm/yy formats only. The year must be 2 or 4 characters. The separator must be a '/' only; '-' are not accepted;
- American style dates are not accepted;
- If the date appears to be correct it is possible that you have additional 'comma separators' after the date. These separators are only visible in Notepad, not Excel. Open the file using Notepad to see if there are additional comma separators (displayed as commas) after the date. If this is the case, simply delete the additional commas in Notepad, save and re-import the file.

***You have not entered any data.***

- Have you clicked on the 'Copy data' button prior to selecting 'Submit'?
- Is there data displayed in the cells?

***Please select a file to upload.***

- Have you selected a file using 'Browse' prior to selecting 'Copy data'?

***Please enter data in your upload file.***

- Ensure the file you have imported is not blank.

***Please check your PIN. Either your PIN is incorrect, or you have not entered it.***

- Have you entered your Company PIN in the 'Enter PIN' section?
- Have you entered an incorrect Company PIN in the 'Enter PIN' section?

***Errors have been found in fields marked with an 'X'. Please correct and resubmit the report.***

- Does the spreadsheet contain an invalid ASX code? Only securities currently 'quoted' on ASX will be accepted. Securities not currently quoted on ASX are denoted with an X. These will need to be deleted before re-submitting the file.
- Is there another occurrence of this security code? Duplicate entries are not accepted and are denoted with an X.
- Does the spreadsheet include symbols, for example, commas (,) or negatives (-) in the quantity field or other symbols [!@#%&\*()?].
  - If there are symbols in the quantity field, e.g. a comma, the system changes the quantity to 0. The user will be required to change the format of column B to General (via the right-mouse click options: Format Cells and select the Number tab) and then re-import the spreadsheet. Even though zeros are displayed on the screen they are not a valid quantity.
  - A negative symbol preceding the quantity is imported however, the '-' has to be deleted in order for the report to be successfully processed.