ASX Austraclear System

Module – Discount and Fixed Income Securities

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This course is designed to provide you with the knowledge required to process Discount Security Series (DSS) and Fixed Income Securities (FIS) through the ASX Austraclear system.

You will learn how to deposit a DSS or FIS, enter a trade, rectify or cancel a trade and finally how to authorise and settle a trade.

In addition this module will also cover queue management, recalling and viewing, splitting of DSS or FIS, pledging and reporting.

Once you have reviewed this material you can then take the examination which is comprised of a number of multiple choice questions.

Issuance, Deposits and Withdrawals

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.

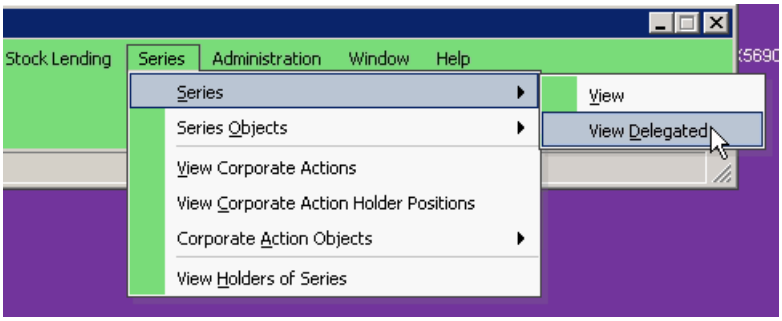
Issuing a Discount Security

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:

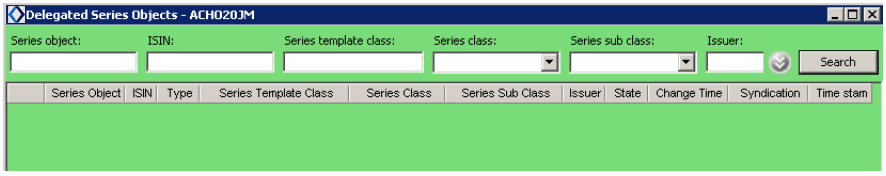
1. Select **Series>Series>View Delegated**.

   This opens the *Delegated Series Objects* screen.



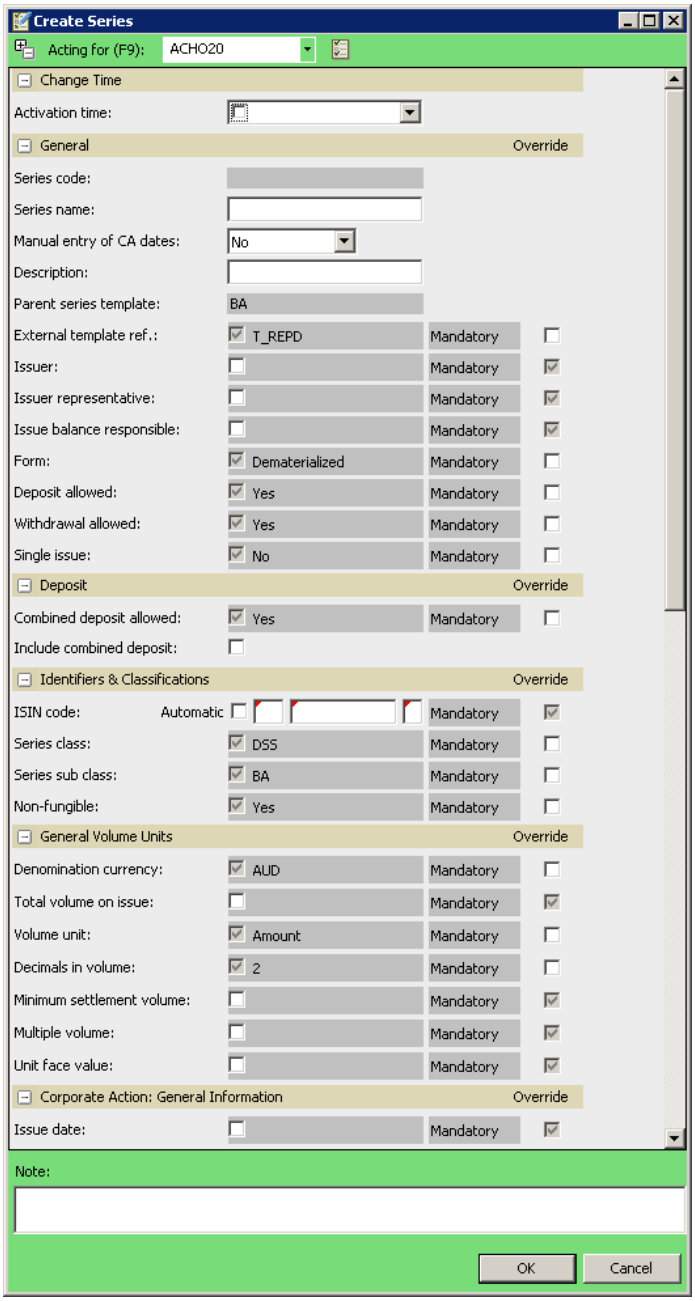
2. Enter the search criteria and click **Search**.

   A list of delegated series templates is displayed.



3. Select the required series template.

4. Right-click and select **Create Series**. This displays the *Create Series* screen.



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

System Rules – Creating Discount Security Series

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

General	General Volume Units	Corporate Action General Information	Corporate Action Maturity Information	Discount Securities
• Series Code	• Total Volume on Issue	• Issue Date	• Maturity Date	• Drawer
• Series Name	• Minimum Settlement Volume	• CA Cash Record Owner	• Maturity Cash Record	• Prime Name
• Description	• Multiple Volume	• CA Cash Record		• Place Payable
• Issuer	• Unit Face Value	• CA Sub Account		• Payee (note this should be 'Bearer' or full name of payee).
• 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)				

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* in the Austraclear System User Guide.

DSS and FIS Deposits

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

Discount Securities	Fixed Income Securities
• BA - Bank Accepted Bills	• FRN - Floating Rate Notes
• EBA - Electronic Bank Accepted Bills	• ABS - Asset Backed Securities
• CD - Negotiable Certificates of Deposit	• TB - Treasury Bonds
• ECD - Electronic Negotiable Certificates of Deposit	• TA - Treasury Adjustable Bonds
• PN - Promissory Notes	• TI - Treasury Indexed Bonds
• EPN - Electronic Promissory Notes	• TN - Treasury Notes

Discount Securities	Fixed Income Securities
• NB - Non Bank Bills.	• 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 and Discount Securities. A FIS is typically a Bond issued by one of the following:

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

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.

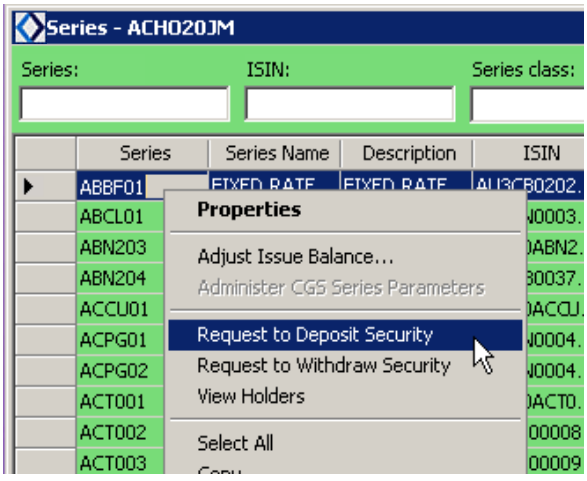
The maturity date of all electronic securities must be four business days after the Deposit date.

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.

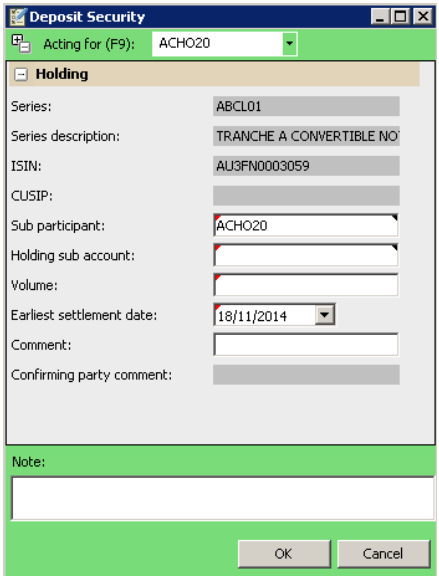
To deposit a discount or FIS:

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.



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



6. Print a deposit receipt if required.

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

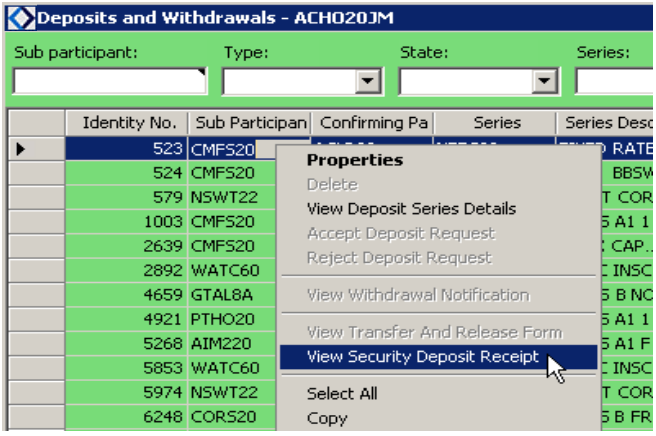
Printing a Deposit Receipt

To print a deposit receipt:

1. Select **Holdings>View Deposits and Withdrawals.**

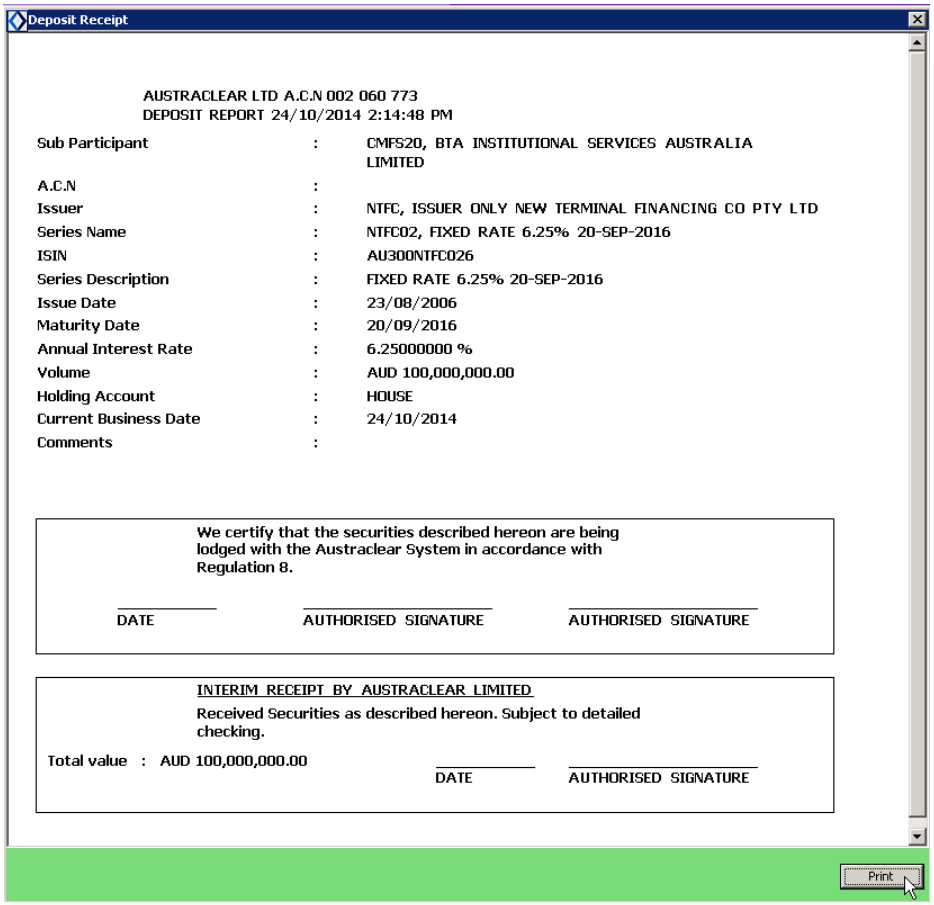
   This displays the *Deposits and Withdrawals* screen.

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.



5. Click **Print**.

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



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.

   To delete the deposit before Austraclear confirmation, select the deposit transaction, right-click, and select **Delete**.
4. Print a deposit slip if required.

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 SFE.Registry@asx.com.au.

Completing a Deposit for Electronic Discount Securities

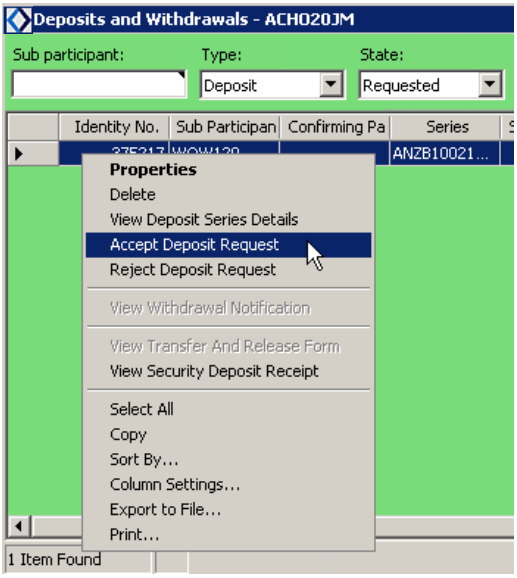
Completing a deposit is performed for the EBA, ECD and EPN discount securities. When completing a deposit for discount securities:

- 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.

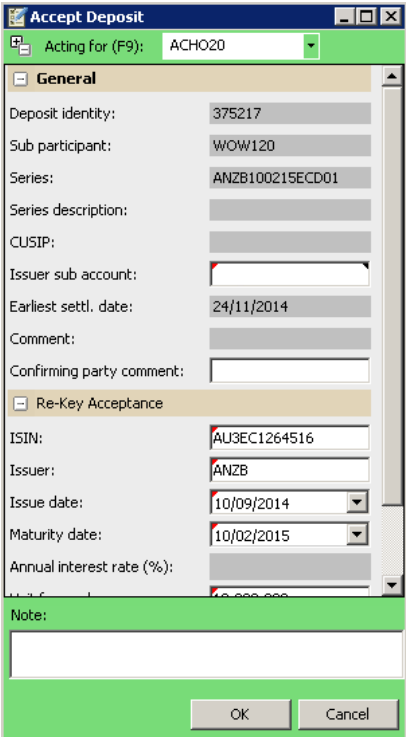
Accepting and Rejecting an E Security Deposit Request

To accept or reject an E security deposit request:

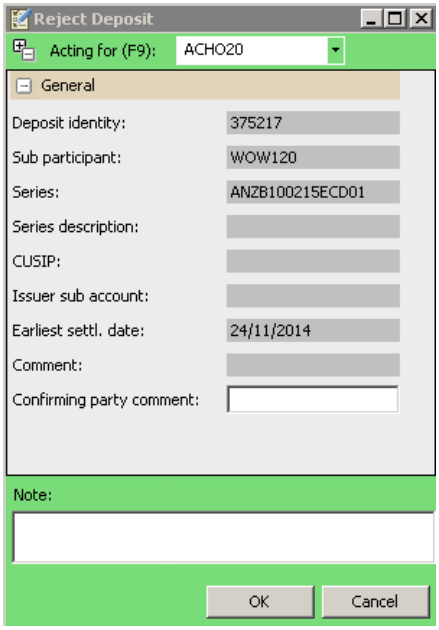
4. Select **Holdings>View Deposits and Withdrawals**. This opens the *Deposits and Withdrawals* screen.
5. Select **Deposit** from the *Type* pull-down menu, and **Requested** from the State pull-down menu.
6. Enter any additional search criteria and click **Search**.
7. Select the required deposit transaction.
8. 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**.



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



For more information, see *Appendix 9 – Deposits Field Descriptions* in the Austraclear System User Guide.

DSS and FIS Withdrawals

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

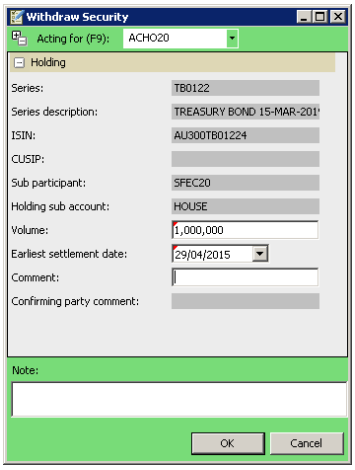
Withdrawing Discount or Fixed Income Securities

To withdraw a discount or fixed income security:

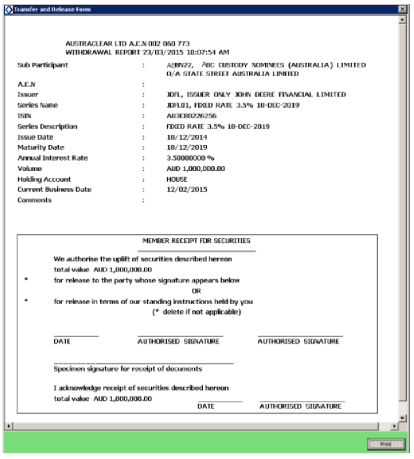
1. Select **Holdings>View Holdings**. This opens the *Holdings* screen.
2. Enter the search criteria and click **Search**.
3. Select the required series.
4. Right-click and select **Withdraw Security**. This displays the *Withdraw Security* screen.
5. Enter the volume and any withdrawal details, and click **OK**.

   For field descriptions, see *Appendix 10 – Withdrawals Field Descriptions* in the Austraclear System User Guide.

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



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



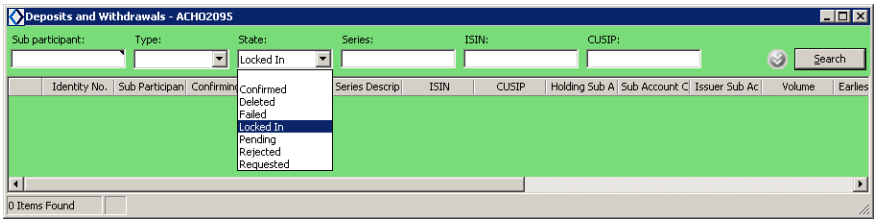
Deleting Withdrawal Requests

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.



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

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.

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.

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

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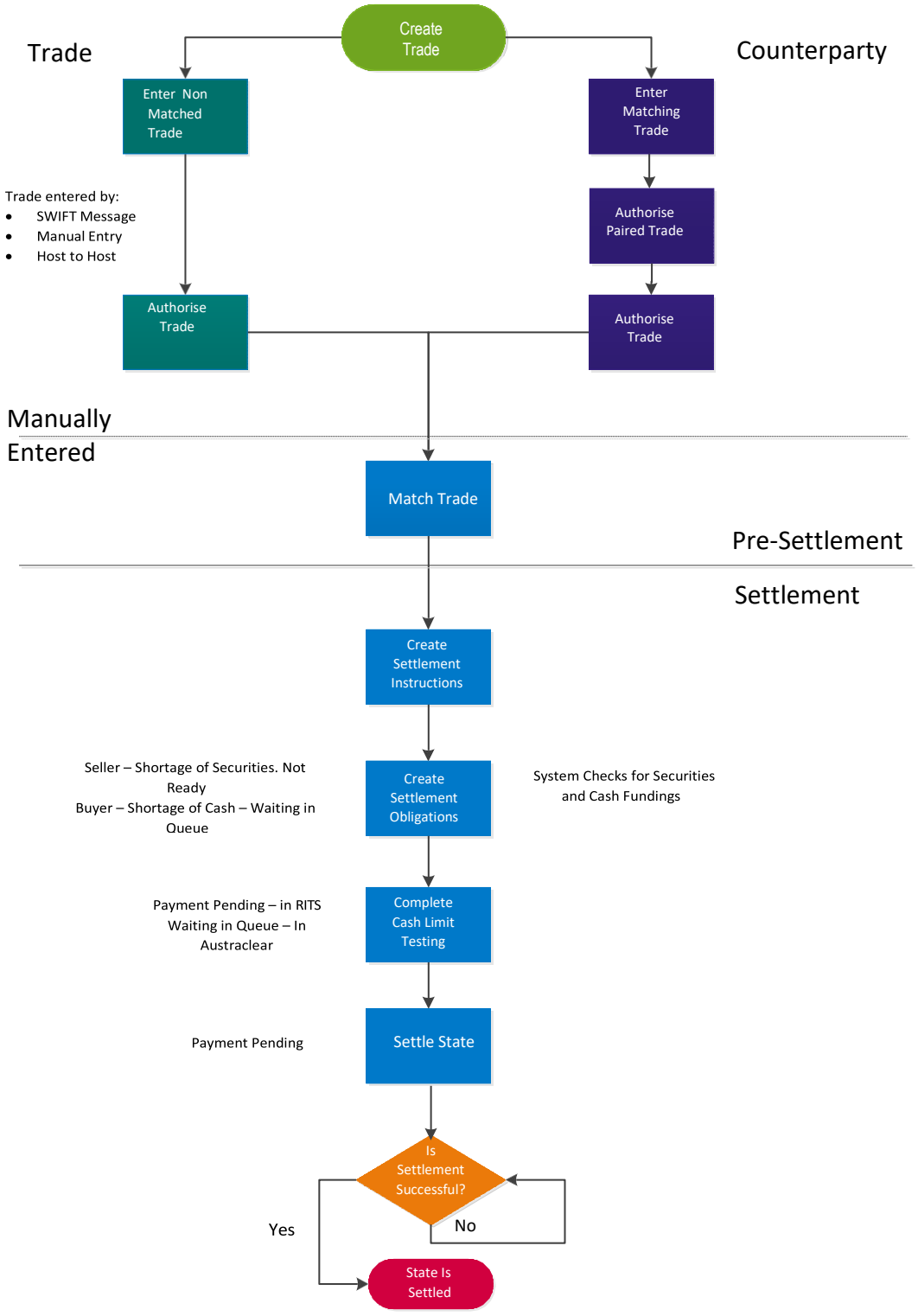
3. Advise the Acceptor/Issuer whether the physical securities are required to be presented to ASX Austraclear.

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.



Entering a DSS or FIS Trade

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
- 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.

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:

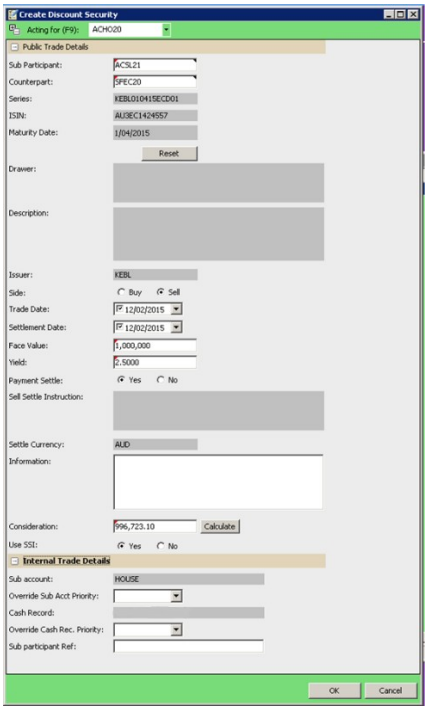
1. Select **Trades>Create Trade>Discount Securities**. This opens the *Create Discount Security* screen.

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.

   For field descriptions, see *Appendix 12 – DSS Field Descriptions* in the Austraclear System User Guide.



3. Click **Calculate.**

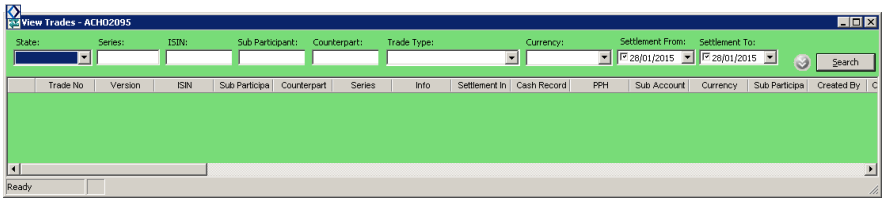
   Once details have been added, click **Calculate**. *Calculate* is located next to the *Consideration* field. Once *Calculate* has been selected, the discount security trade will be calculated.

4. Click **OK**.

Confirming DSS Trades

To confirm a DSS trade:

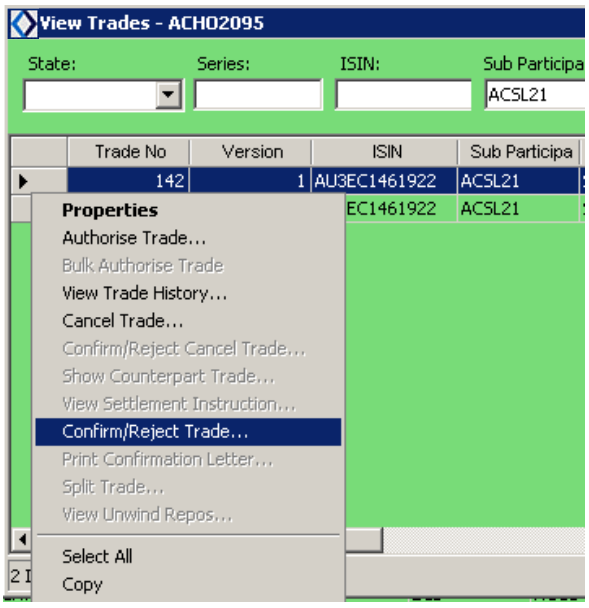
1. Select **Trades>View Trades**.



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**.

Note:

Note the following critical points:

- All GUIs will remain a six character participant 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 original character mnemonic.

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.

Creating FIS Trades

To create a FIS trade:

1. Select **Trades>Create Trade>Fixed Income**. This displays the *Create Fixed Income* screen.

2. Enter the required trade details.

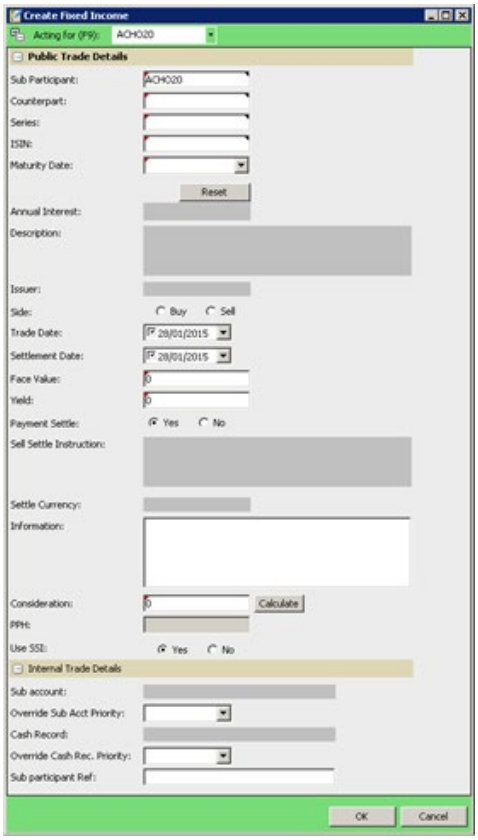
   When the Series code is entered in the *Series* field, additional fields are populated when the user moves to the next field. This includes the following fields:

   - 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* in the Austraclear System User Guide



3. Click **Calculate**.

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

4. Click **OK.**

Creating FIS Trades with Payment Settle Yes

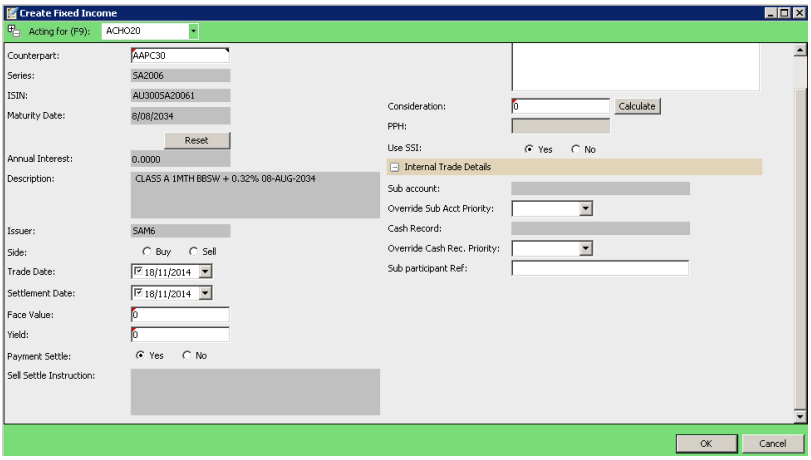
To create a FIS trade with payment settle of Yes:

1. Select **Trades>Create Trade>Fixed Income**.

   This displays the *Create Fixed Income* screen.

2. Enter information in the required fields.

Ensure that **Yes** is selected for *Payment Settle*.



3. Click OK.

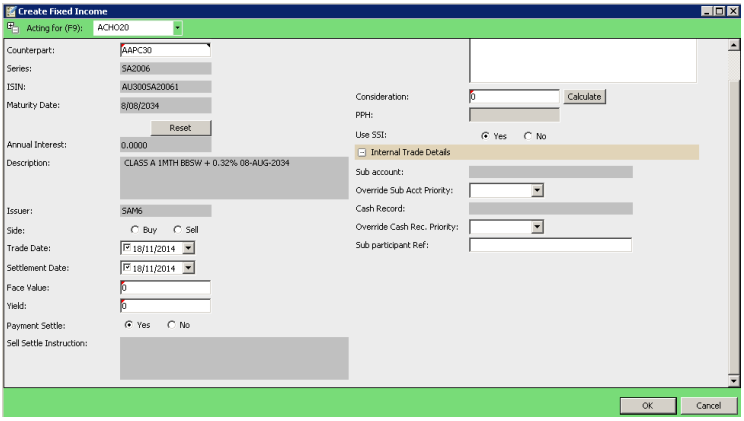
   When all the required information has been entered, click **OK**.

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 Income* screen.
2. Enter information in the required fields.

   Ensure that **Yes** is selected for *Use SSI.*



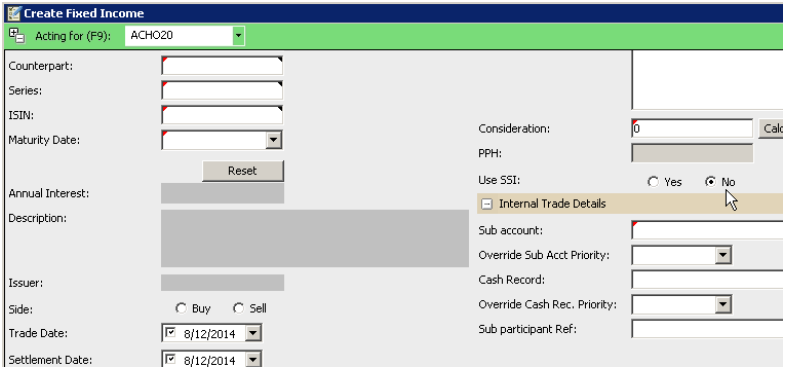
3. Click **OK**.

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 Income* screen.
2. Enter information in the required fields.

Ensure that **No** is selected for *Use SSI.*



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 participant 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 original character mnemonic.

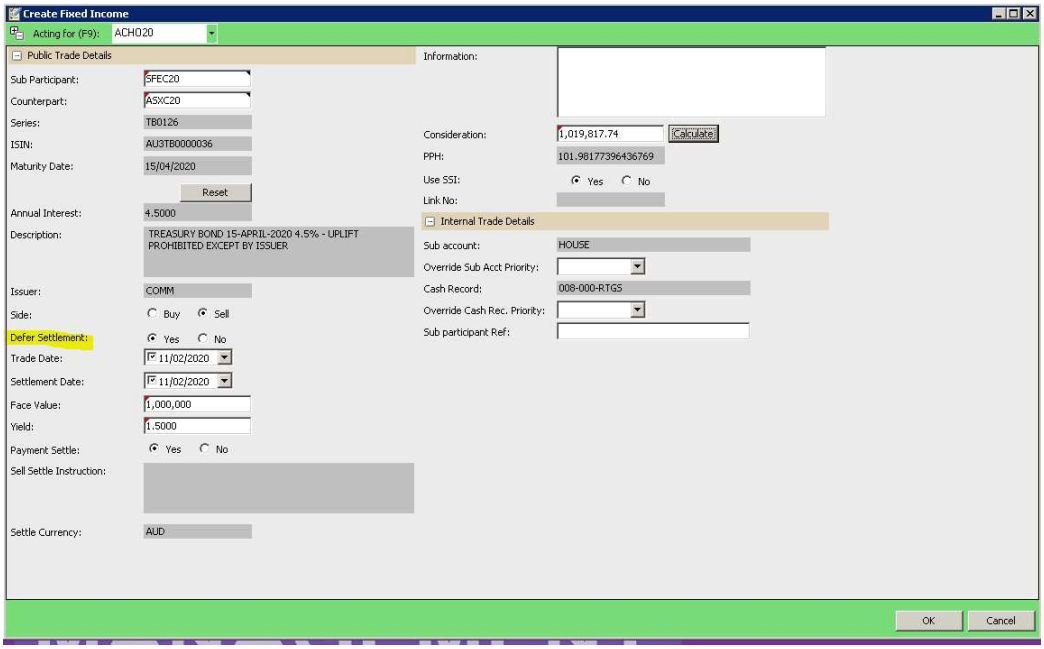
Creating a Trade with Deferred Settlement

Participants may enter 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.



2. Click **OK**

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

   Note: Deferred settlement flag set as ‘Yes’ by either counterparty will override the other’s preference (if the counterparty has set the flag to ‘No’ on their side of the trade). It is only possible to add the flag to trades with a status of unmatched.

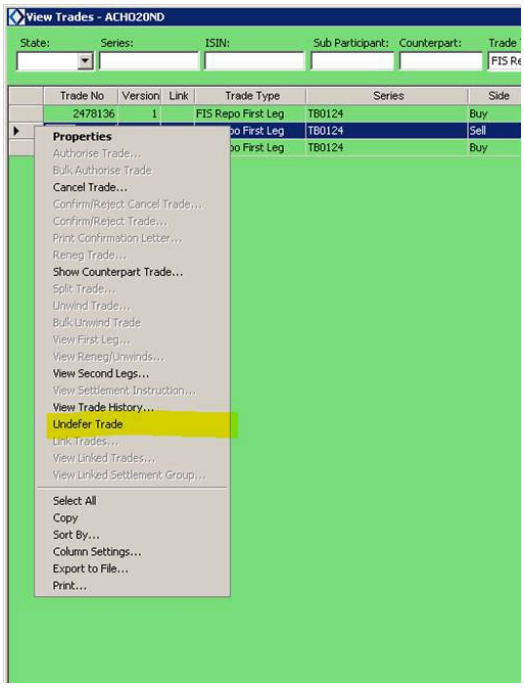
Remove Deferred Settlement from a Trade

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

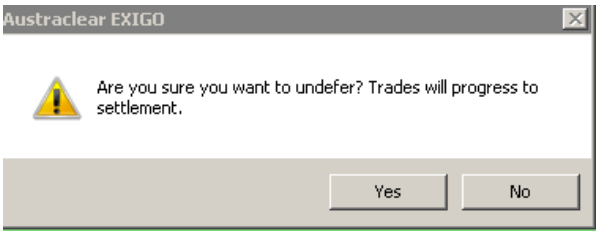
2. Select **Trades>View Trades**

3. The seller right clicks on the ‘deferred trade’

4. Selects ‘**Undefer Trade**’



5. Select ‘Yes’ to undefer trades to progress to settlement.



Rectifying or Cancelling Trades

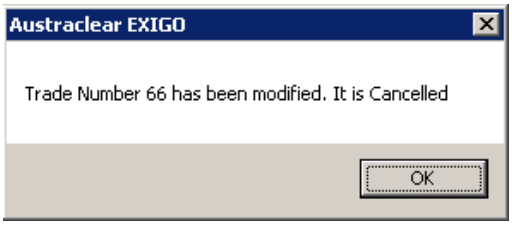
A trade can be rectified or cancelled for Cash, DSS, FIS, FX and Market Repos.

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.
4. 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.



System Rules for DSS/FIS

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

Authorising Trades

A DSS or FIS trade can be authorised with the following 'state' options:

- 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.

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.

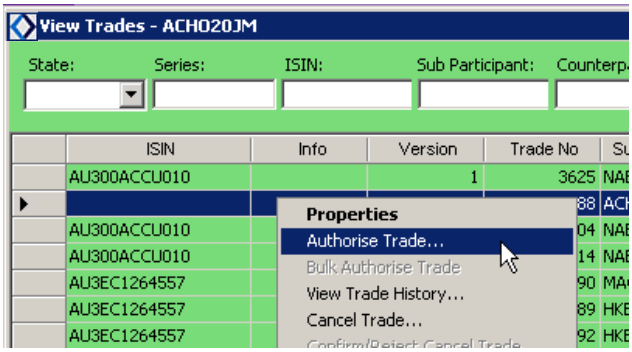
To authorise DSS/FIS trades:

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**.



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

Settling a Trade

Settlement details such as the status and settlement instructions can be viewed for a Cash trade/transaction.

Viewing Trade Settlement Status

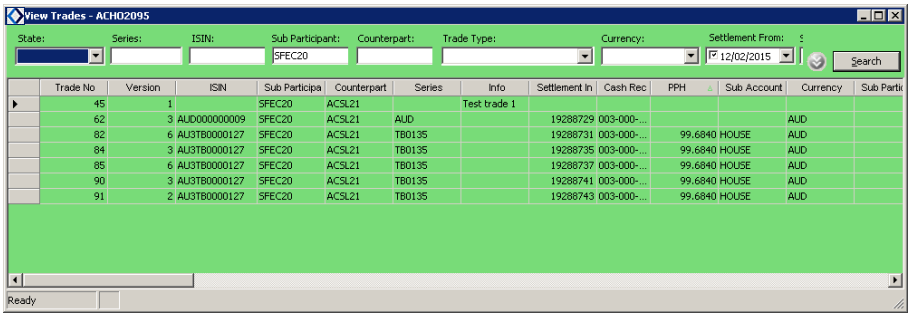
To view the settlement status of a trade:

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.



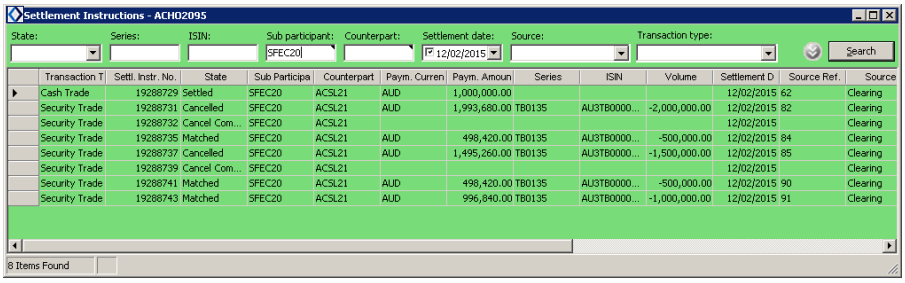
Viewing Trade Settlement Instructions

To view settlement instructions for a trade:

1. Select **Settlement>View Settlements>Settlement Instructions**. This displays the *Settlement Instructions* screen.

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

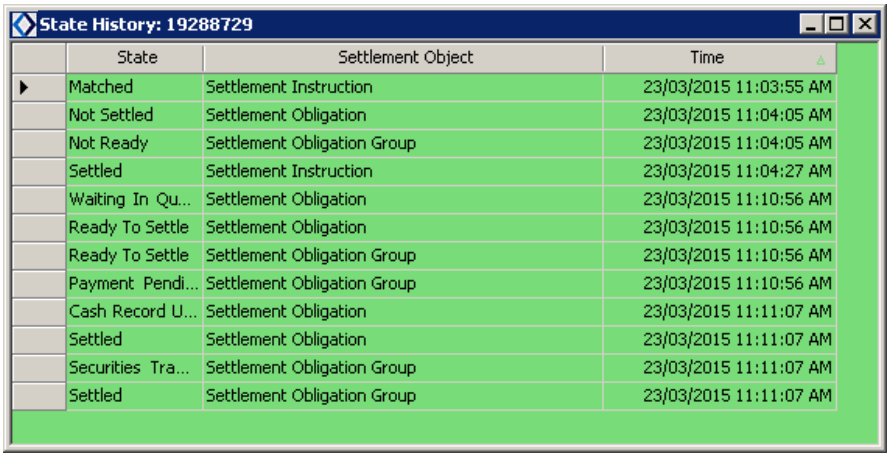
   The instructions to which the user is party or proxy to are displayed.



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.



System Rules for DSS or FIS Trade Settlement

The following system rules apply for DSS or FIS trades:

- 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.
- 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.
- The option to set a trade to **Deferred** state is only available to FIS and DSS 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.

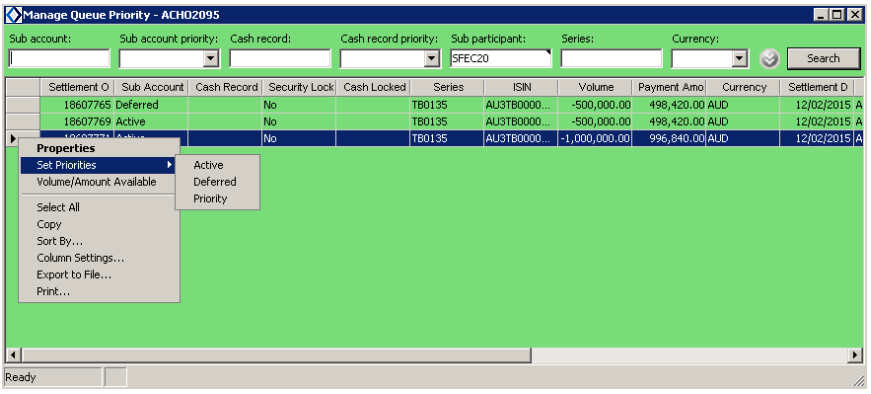
Managing Queues

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.

Managing Queue Priority

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**.



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

For field descriptions, see *Appendix 18 – Queue Management Field Descriptions* in the Austraclear System User Guide.

System Rules for DSS or FIS Queue Management

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.

Recalling Trades

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

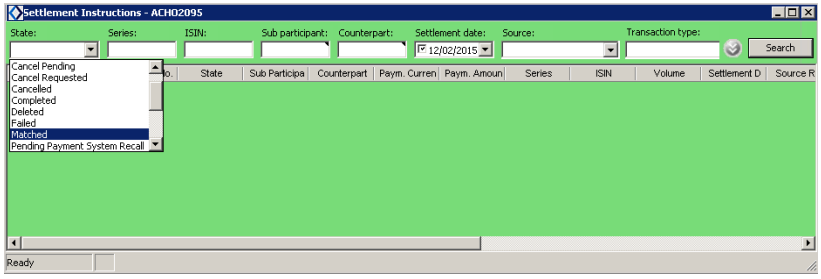
Only trades with settlement instructions in a state of **Payment Pending** can be recalled from the RTGS queue.

To recall a trade:

1. Select Settlement>View Settlements>Settlement Instructions.

   This displays the *Settlement Instructions* screen.

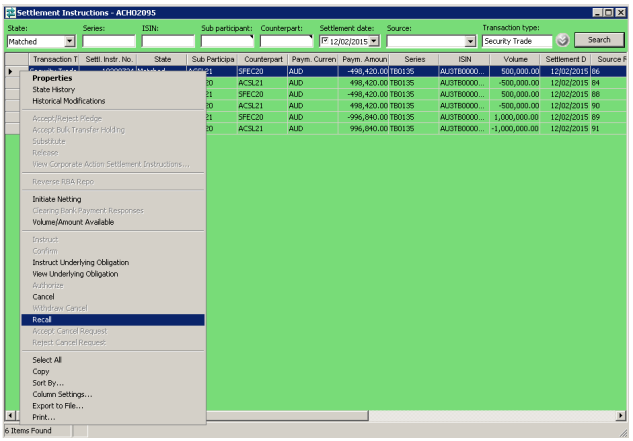
2. Select **Matched** from the *State* pull-down menu.



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

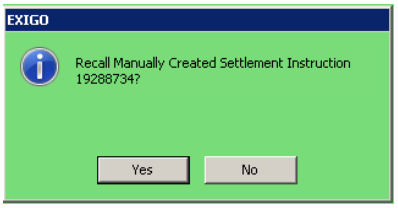
   This displays all the trades settling on the specified date.

4. Select the required transaction to be recalled.



5. Right-click and select **Recall**.

Selecting **Recall** removes the transaction from the RITS queue.



Conducting Trade Splits

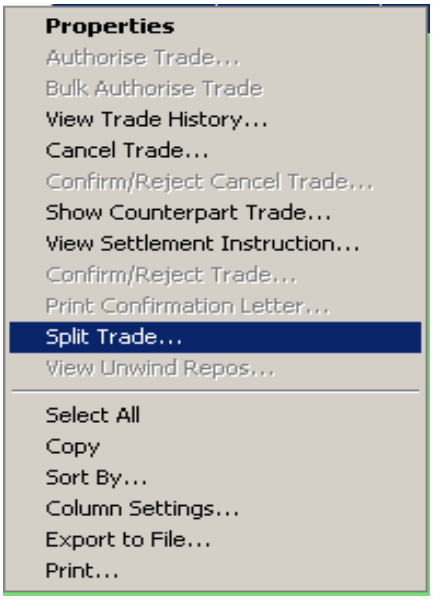
Trade splits can be initiated by either counterparty to a trade, but must be authorised before the split can proceed to settlement. Once the trade split has been authorised, it can be either confirmed or rejected.

Initiating a Trade Split for Discount and Fixed Income Securities

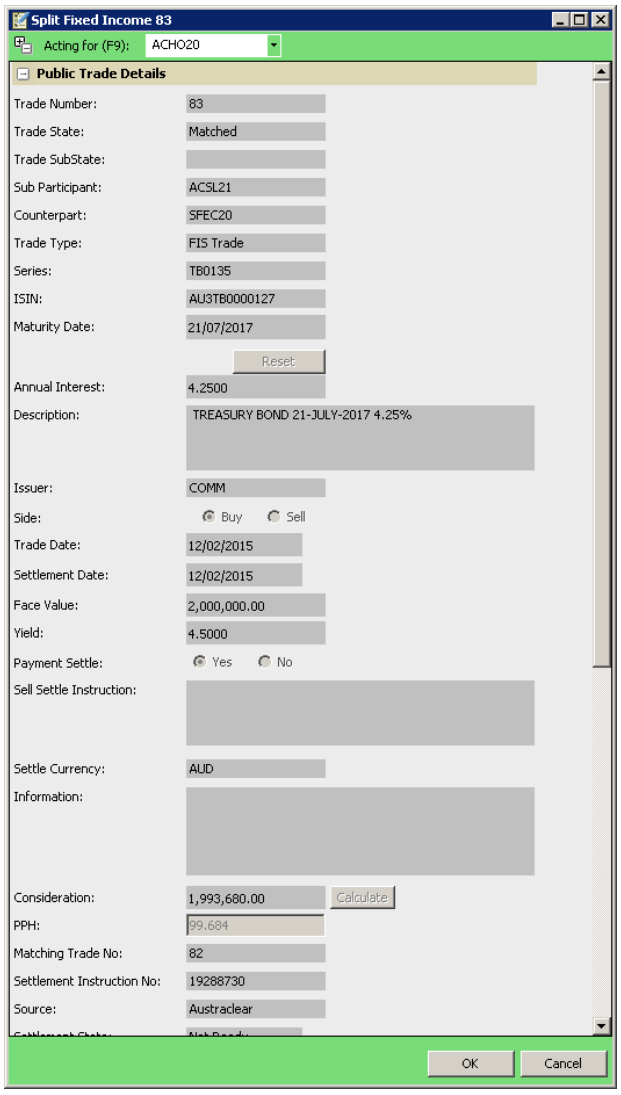
The settle status for the original DvP must be Matched otherwise the request is rejected. The current date must be the settlement date.

To initiate a trade split:

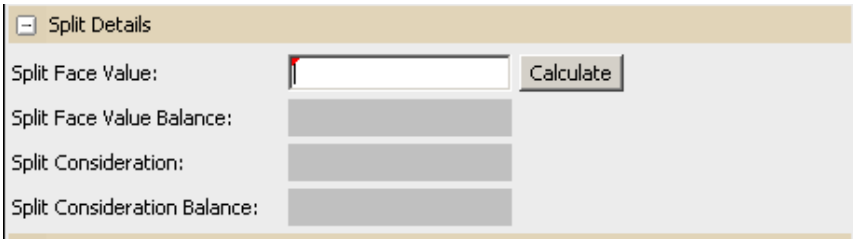
1. Select **Trades>View Trades**.
2. Specify search criteria and click **Search**.
3. This displays all of the trades that the user is party or proxy to.
4. Select the transaction to be split.
5. Right-click and select **Split Trade**.



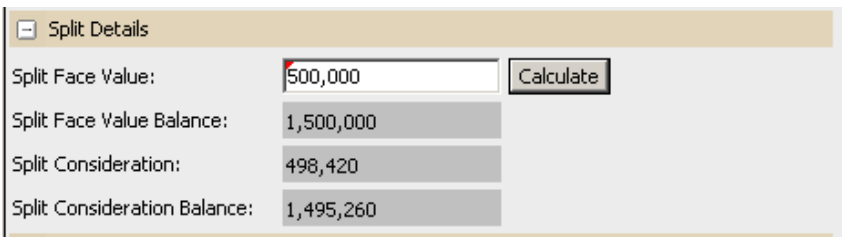
The *Split Trade* screen is displayed.



6. Enter the required value for the first split in the *Split Face Value* field and select **Calculate**.



The system calculates the split face value balance, split consideration and split consideration balance.



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).

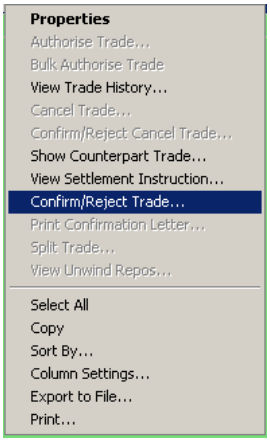
Confirming or Rejecting a Trade Split for Discount and Fixed Income Securities

Trade splits can be initiated by either counterparty to a trade, but must be confirmed before the split can proceed to settlement.

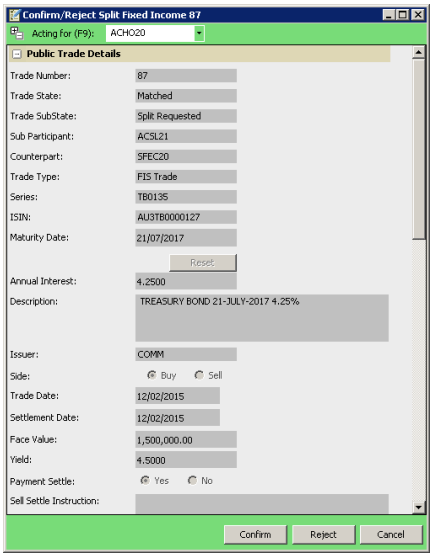
To confirm or reject a trade split:

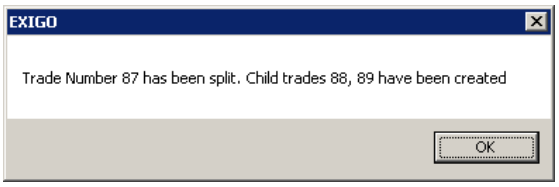
1. Select **Trades>View Trades**.
2. Specify the search criteria and click **Search**.

   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.





6. Click **OK**.

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.

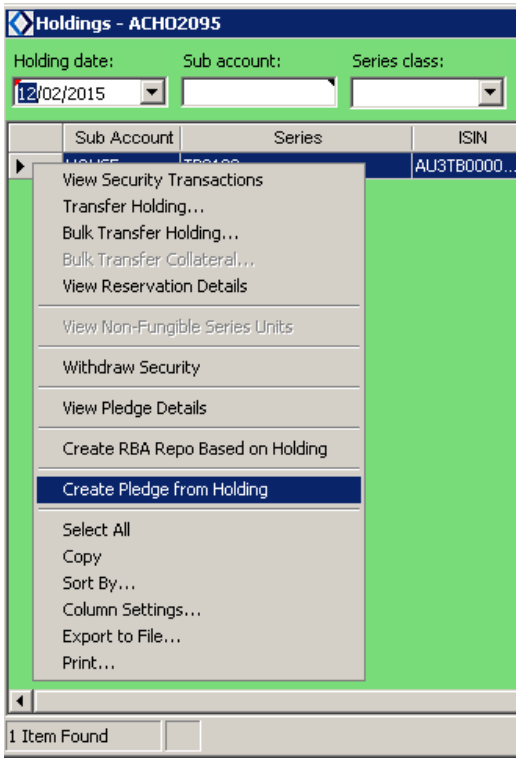
Securities held in any sub account may be used for a pledge.

Pledges may be entered against receipt of a payment amount or free of payment i.e. no payment received for the pledge.

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**.

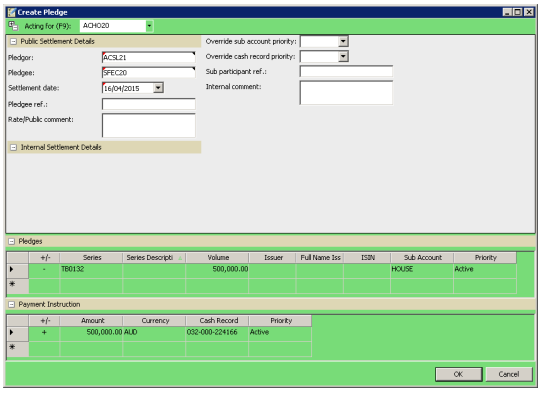


5. Enter pledgee details, volume and payment instructions if applicable.

   If entering a pledge free of payment, right-click in the *Payment Instruction* field and select **Delete** to delete the row.

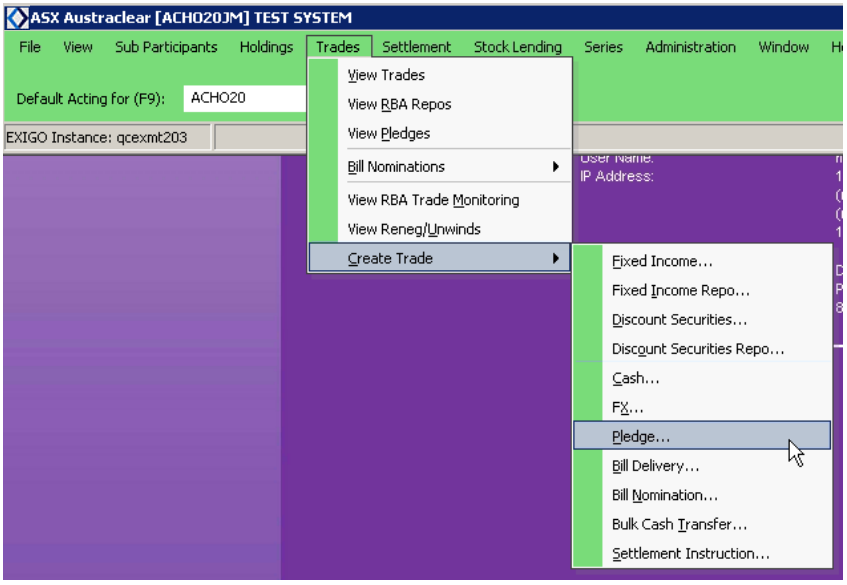
   If the pledgor requires authorisation, this must be completed before the pledge is able to accept the pledge. For more information, see *Authorising a Pledge.*

   For field descriptions, see *Appendix 19 – Pledges Field Descriptions* in the Austraclear System User Guide.



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.

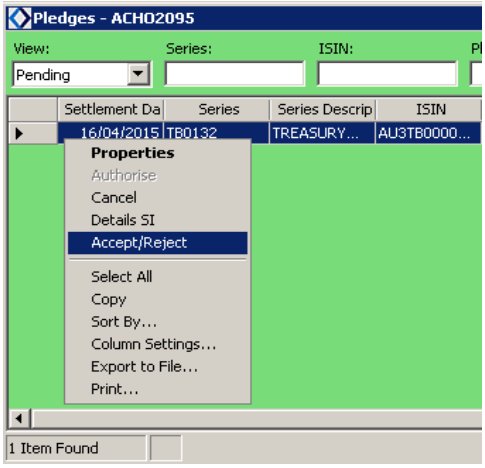


Accepting or Rejecting a Pledge

To accept or reject a pledge:

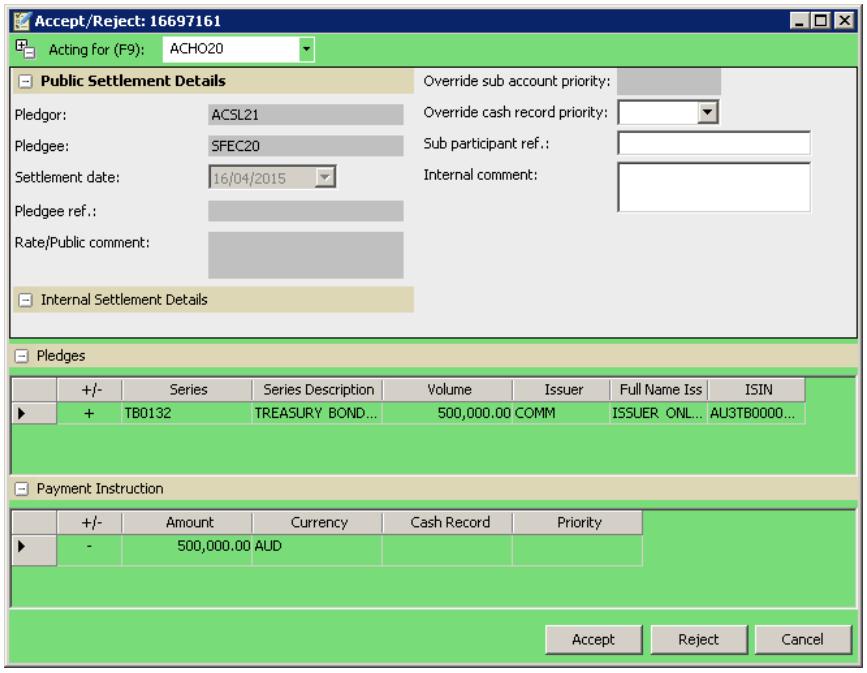
1. Select **Trades>View Pledges**. This displays the *Pledges* screen.
2. Select **Pending** from the *View* pull-down menu.
3. Specify search criteria and click **Search**.
4. Select the required pledge.
5. Right-click and select **Accept/Reject.**

This accepts or rejects the selected pledge.



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.*



Releasing a Pledge

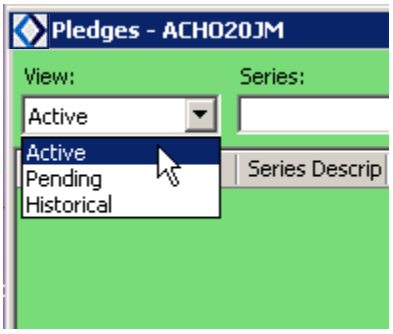
The *Release* screen enables participants to release securities used for a secured loan when the loan is repaid.

Pledges may be entered as Free of Payment or DvP.

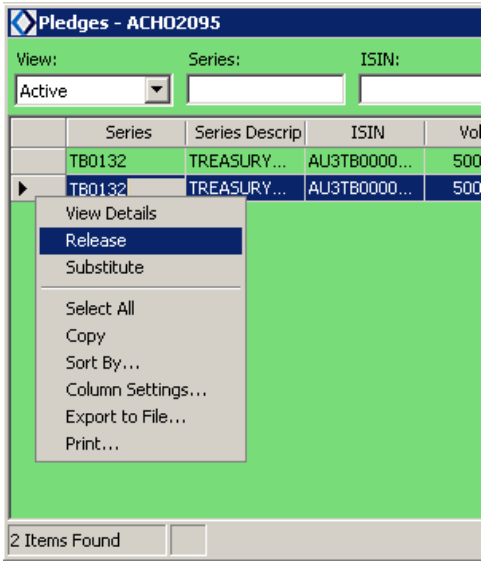
Release Pledge transactions must be initiated by the participant (Pledgor) who entered the original Pledge, with the securities not being released until the other participant (Pledgee) has confirmed the release of the pledge.

To release a pledge:

1. Select **Trades>View Pledges**. This displays the *Pledges* screen.
2. Select **Active** from the *View* pull-down menu.

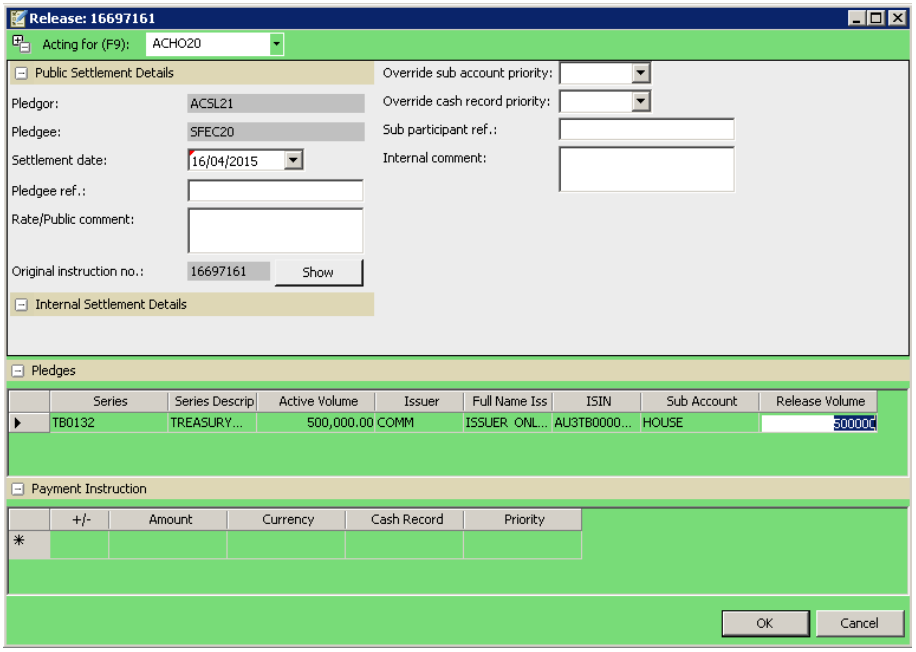


3. Specify the required search criteria and click **Search**.
4. Select the required pledge.
5. Right-click and select **Release**. This displays the *Release* screen.



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.*



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*.

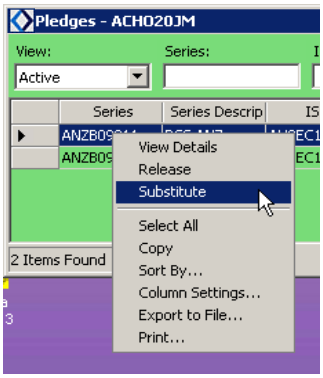
Substitute Pledge transactions must be initiated by the participant who entered the original pledge, with the securities not being substituted until the other participant has confirmed the substitute pledge.

To substitute a pledge:

1. Select **Trades>View Pledges**.
2. Select **Active** from the *View* pull-down menu.
3. Enter search criteria and click **Search**.
4. Select the required pledge.
5. Right-click and select **Substitute.**

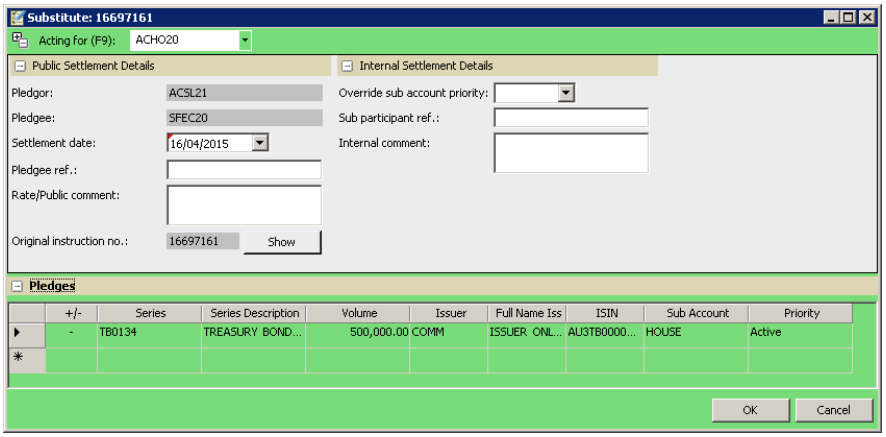
   This displays the *Substitute* screen.

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.*



6. 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.

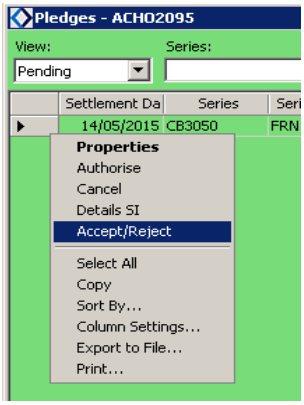


Accepting or Rejecting a Substitute Pledge

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**.

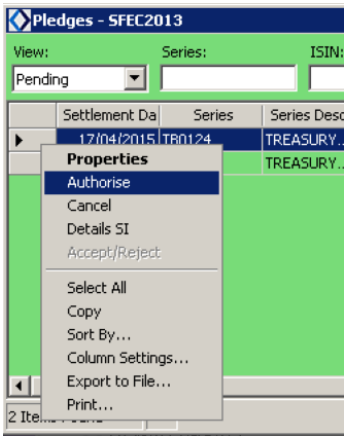
Click **Accept** to accept the substitute pledge or **Reject** to reject the substitute pledge.

Authorising a Pledge

If a Pledgor requires authorisation, this must be completed before the Pledgee is able to accept the pledge.

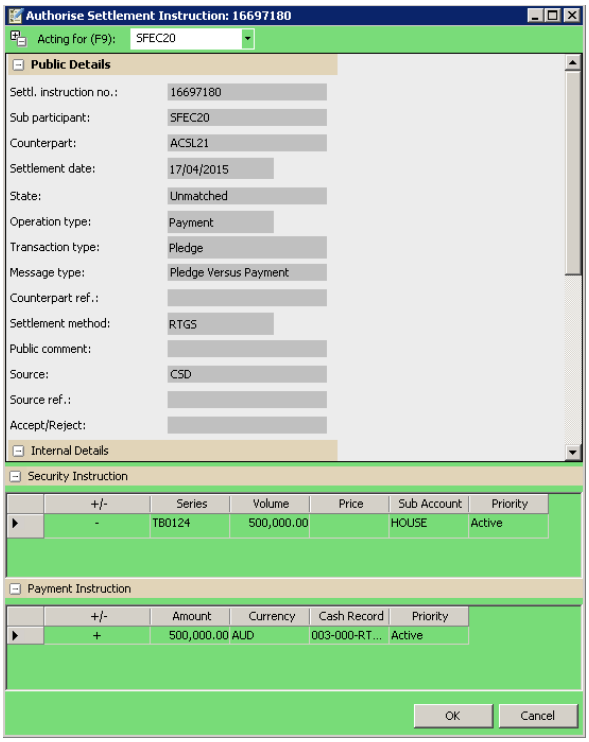
To authorise a pledge:

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.



Note:
Authorisation must be performed by a different user to the user who entered the transaction.

Transferring Holdings

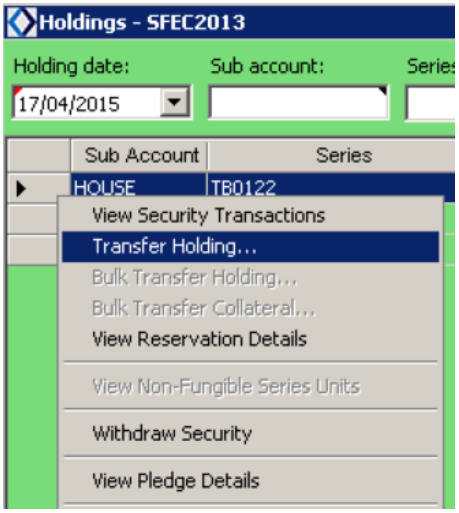
This functionality enables DSS and FIS holdings to be transferred to other accounts.

Entering Holding Transfer Details

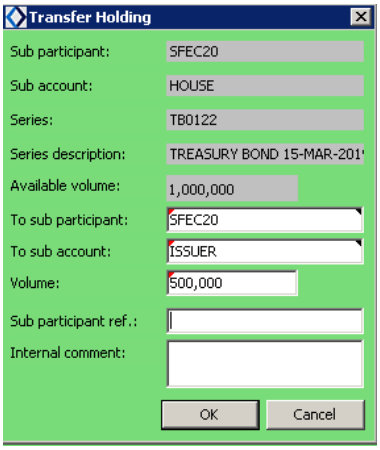
Participants can transfer holdings to either another of their sub participants or to another existing sub account.

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.



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



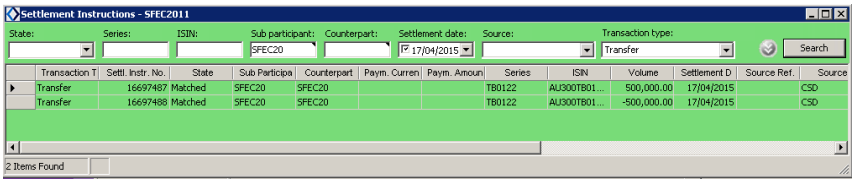
Authorising the Transfer of Holdings

A user cannot authorise a transfer that they have entered. An alternate user must authorise transfers.

To authorise a transfer of a holding:

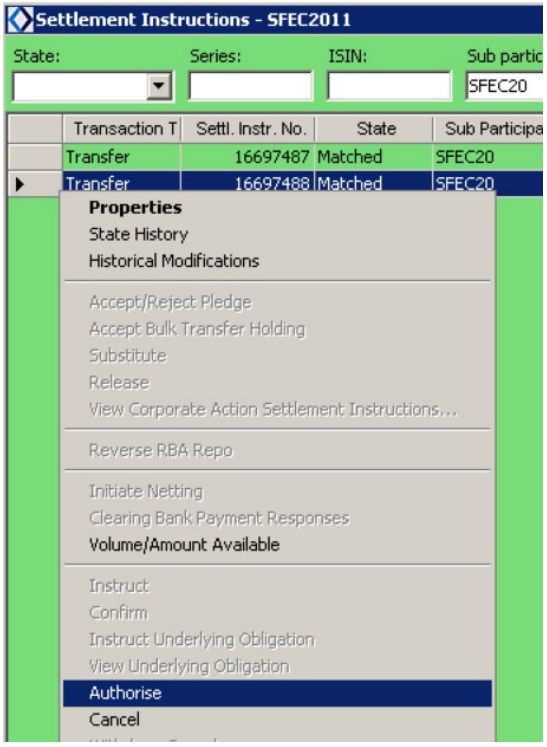
1. Select **Settlement>View Settlements>Settlement Instructions**. This opens the *Settlement Instructions* screen.
2. Specify the search criteria and click **Search**.

   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.



3. Select the holding to be authorised.

4. Right-click and select **Authorise**.



5. Check details and click **OK**.

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).

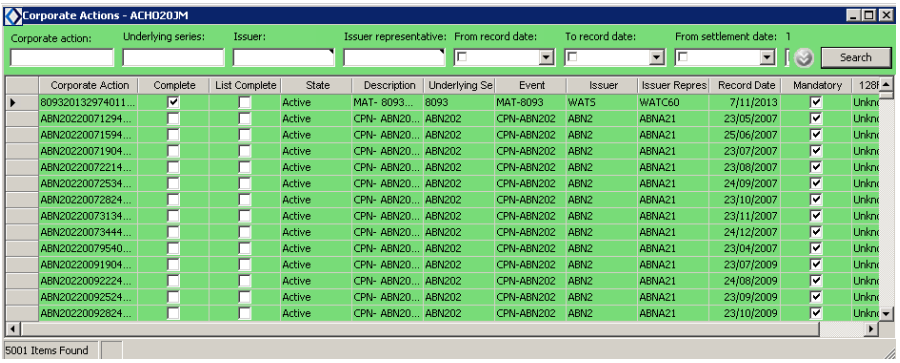
The ability to view the holder list on corporate actions is restricted to Issuer Representatives only.

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.

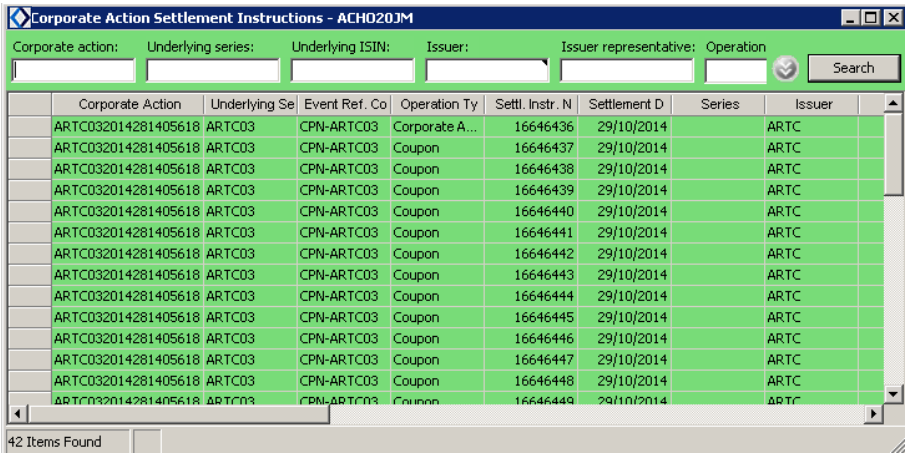
- **Series>View Corporate Actions**

The *Corporate Actions* screen displays corporate actions once they have been created. This occurs five business days prior to Booksclose (record date).



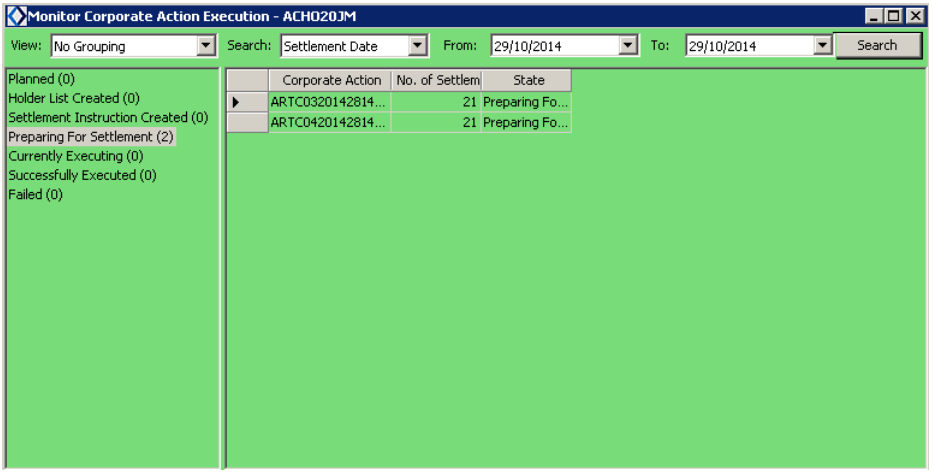
- **Settlement>View Settlements>Corporate Action Settlement Instructions**

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.



- **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.



For field descriptions for corporate actions, see *Appendix 7 – Corporate Actions Field Descriptions* in the Austraclear System User Guide.

Viewing Planned Corporate Actions

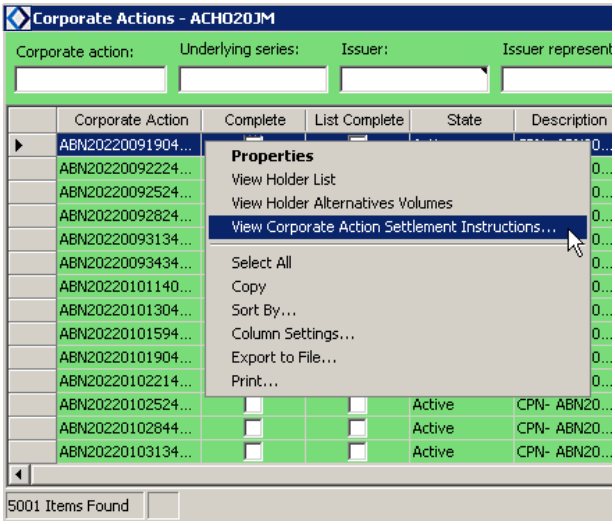
To view and confirm DSS Maturity/FIS Coupon, Redemption and Maturity Corporate Actions:

1. Select **Series>View Corporate Actions**. This displays the *Corporate Actions* screen.
2. Specify search criteria and click **Search**.

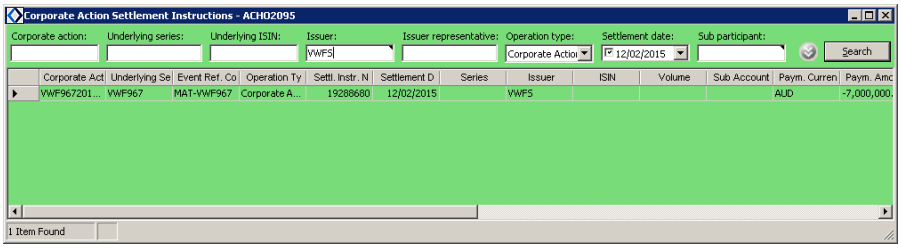
   The current corporate actions for DSS will be Maturities, and for FIS will be Coupon Payments, Redemptions and Maturities. From this screen, the holder list can be confirmed or viewed.

   ### 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**.

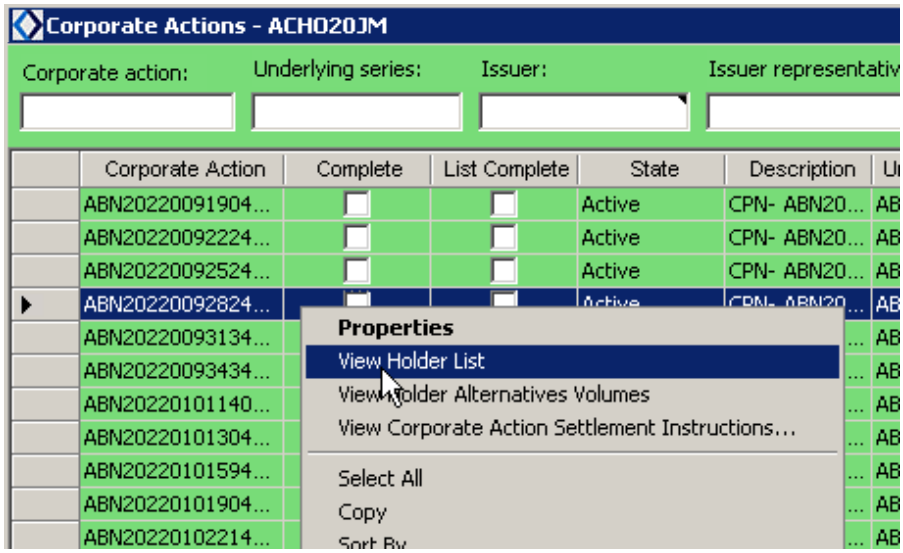


This displays the *Corporate Action Settlement Instructions* screen.

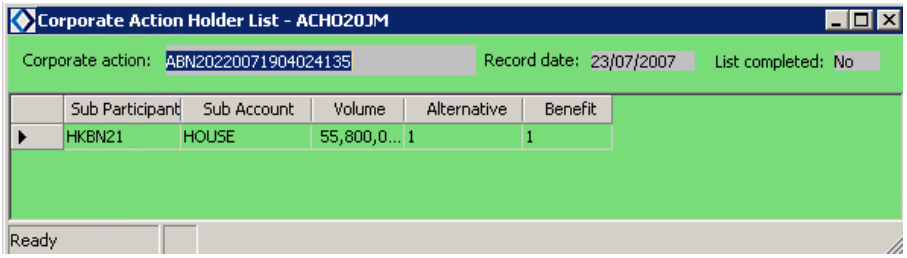


Viewing the Holder List

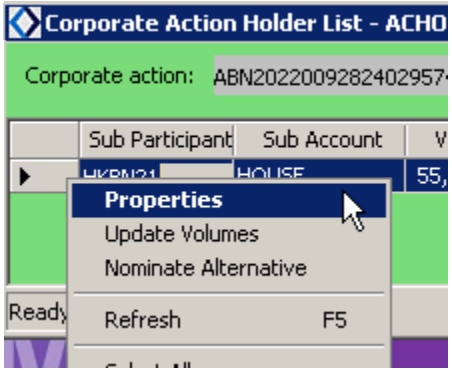
To view the Holder List, right-click in the *Corporate Actions* screen and select **View Holder List**.



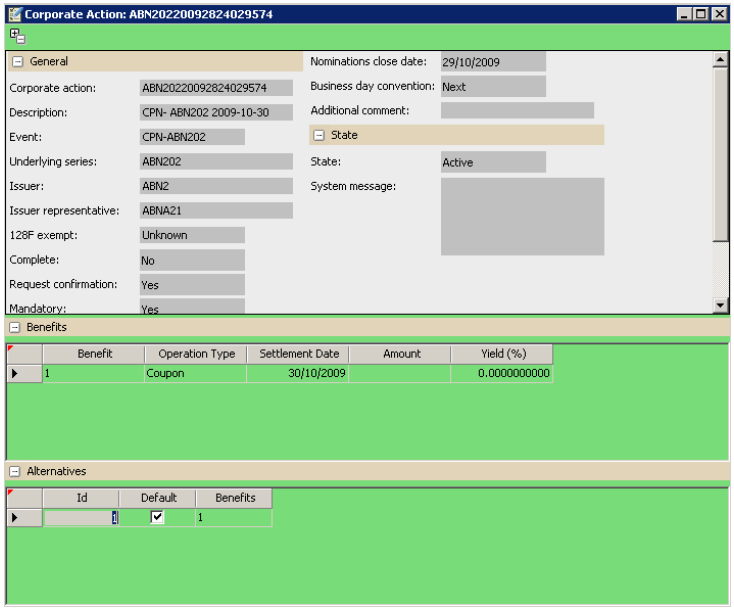
This displays the *Corporate Action Holder List* screen.



To view the details for an individual corporate action, right-click and select **Properties.**



This displays the *Corporate Action* screen for the selected corporate action.



Viewing Only Corporate Actions from the Issuer Representative

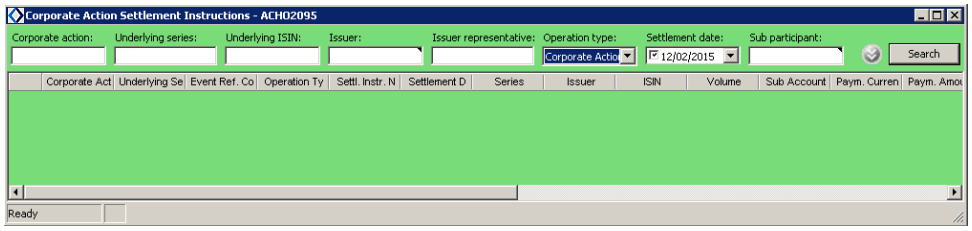
The *Corporate Actions* screen displays the corporate actions for all issuer representatives.

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.



To view corporate actions for a particular issuer:

1. Select **Settlement>View Settlements>Corporate Action Settlement Instructions**.

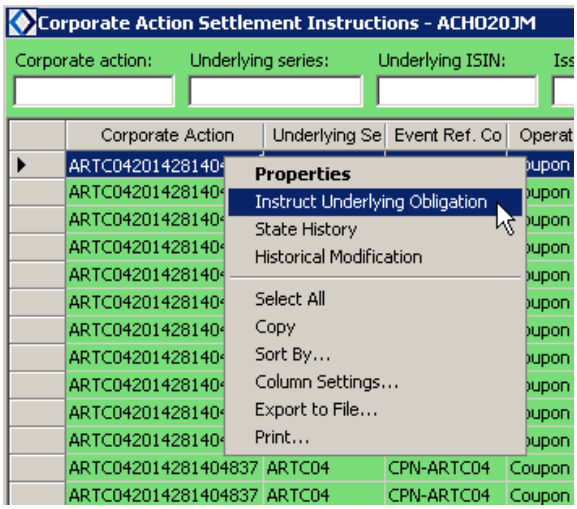
   This displays the *Corporate Action Settlement Instructions* screen and displays all the corporate actions for the day.

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

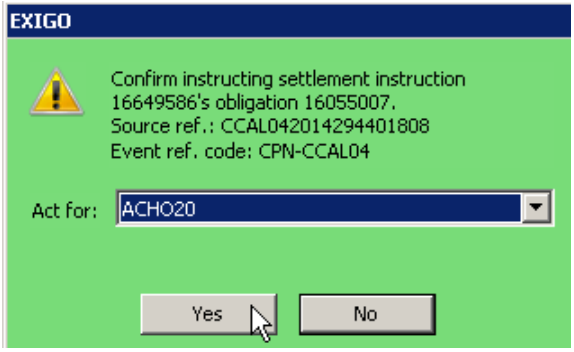
   This displays current corporate action settlement instructions.

Confirm a Corporate Action

To confirm a corporate action, select the required corporate action, right-click and select **Instruct Underlying Obligation**.

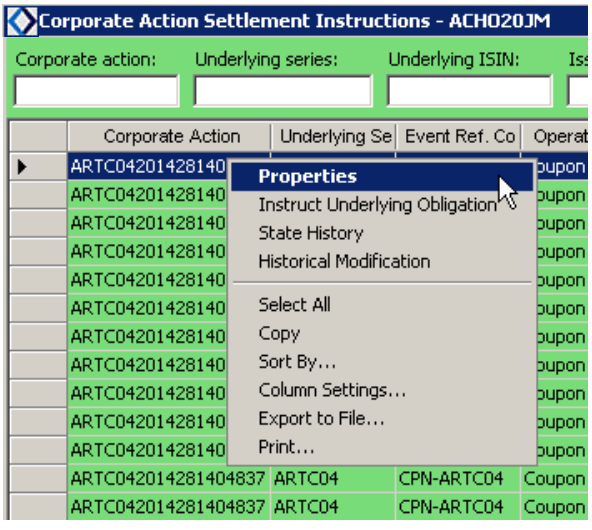


This displays a dialogue box to confirm the settlement instruction. Click **Yes** to confirm.

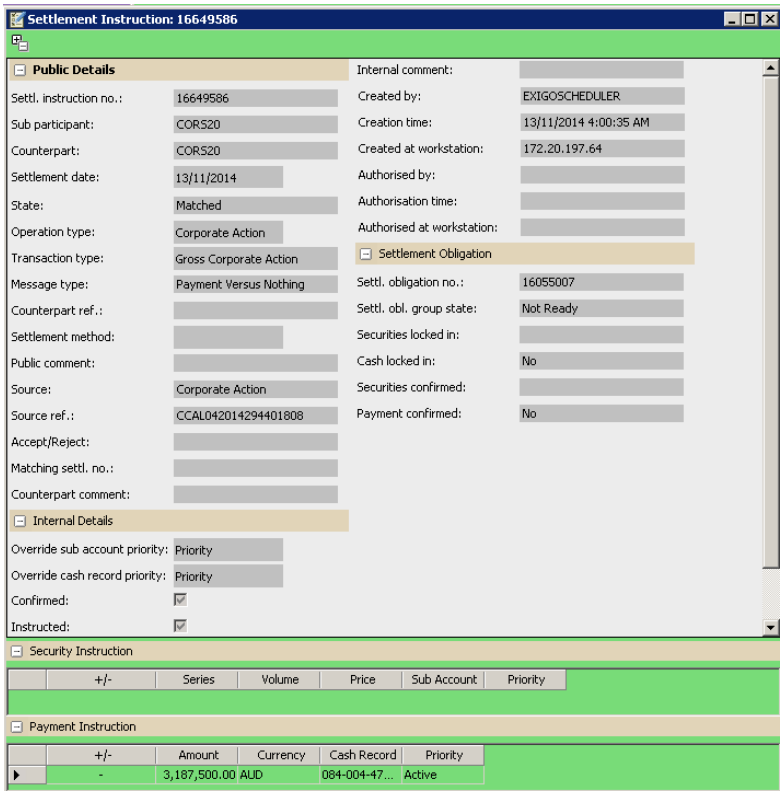


Viewing an Individual Corporate Action

To view an individual corporate action, select the required corporate action, right-click and select **Properties**.



This displays the *Settlement Instruction* screen listing the Settlement Instruction details.



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.

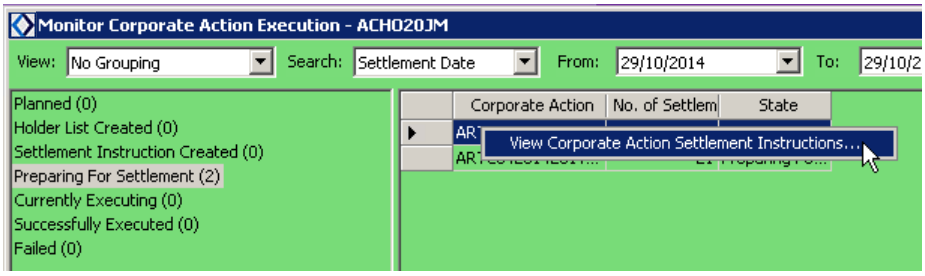
To view only Corporate Action Settlement Instructions for a particular settlement day:

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**.



   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).

Viewing, Downloading and Printing Reports

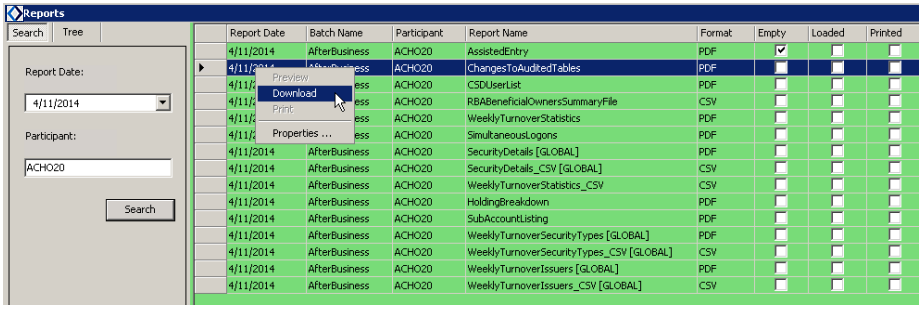
Reports are available at the start of each business day as a result of overnight processing for DSS Maturity, FIS Coupon, Redemption and Maturity Corporate Actions. The reports available differ for issuers of discount securities and issuers of FIS.

Details of the specific reports for DSS and FIS Issuers please refer to the table at the end of this module.

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.



5. Right-click and select **Print** and/or **Print Preview**.

Viewing Corporate Actions for Holders

Corporate actions for holders provide the ability to view corporate actions relating to DSS and FIS.

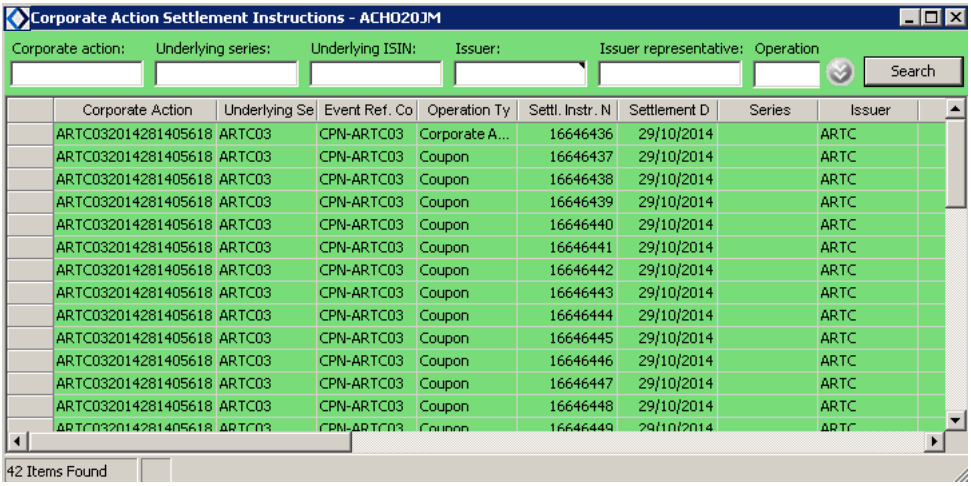
Viewing DSS Maturity/FIS Coupon, Redemption and Maturity Corporate Actions

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.



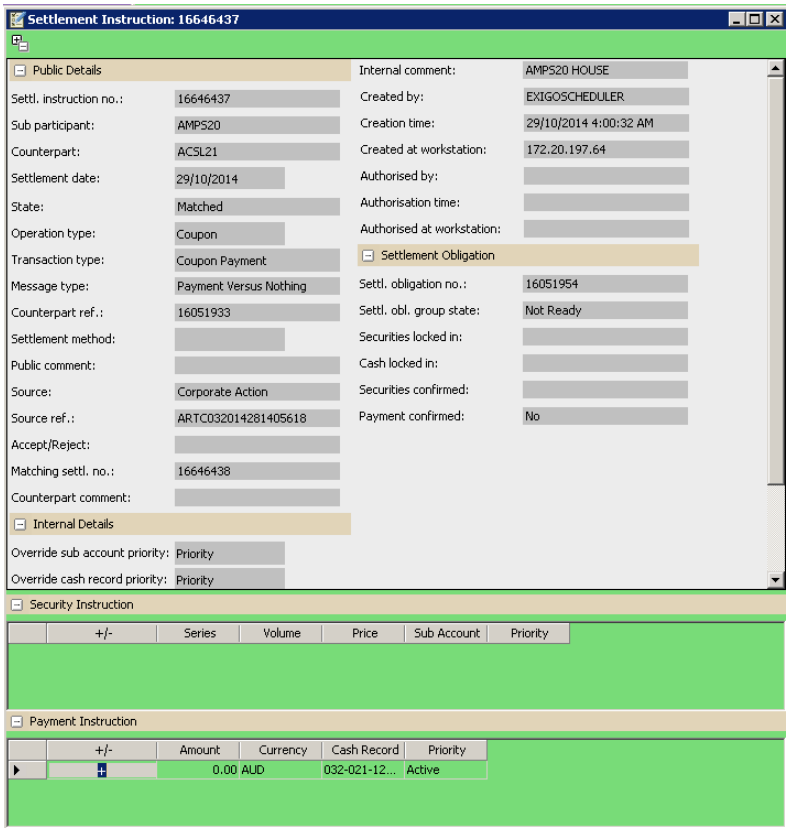
All corporate action settlement instructions are displayed in this screen once they have been created after Booksclose (record date). This consists of one gross corporate action settlement instruction for each series, representing the total payment amount for that series and a number of underlying corporate 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.



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.

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.

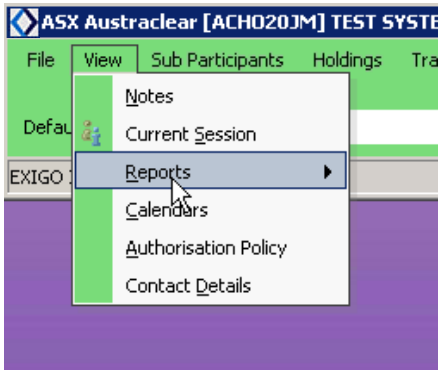
The *Income Receivable* Report is available for holders of DSS and FIS at the start of each business day as a result of overnight processing.

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.



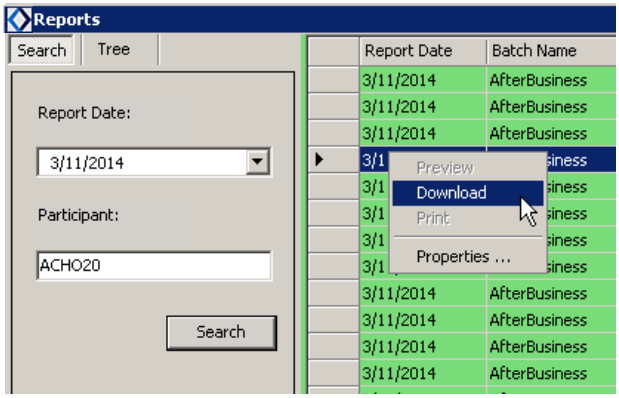
2. Specify search criteria and click **Search**.

   This displays the available reports for the current business day in the right frame of the screen.

3. Select the required report.

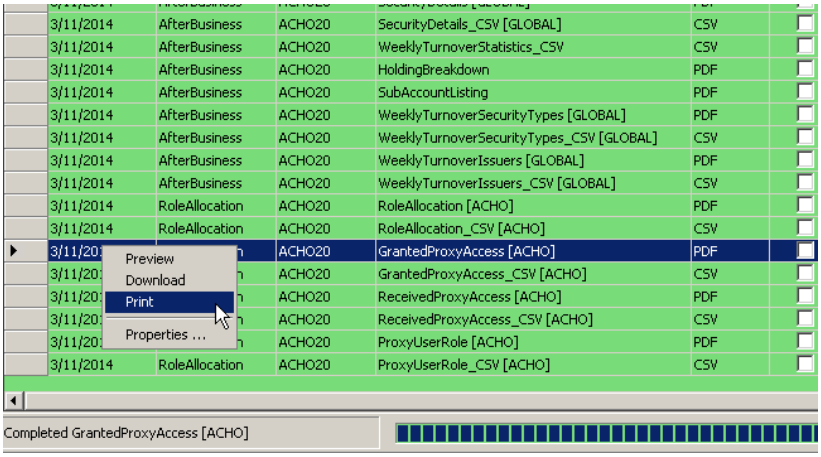
4. Right-click and select **Download**.

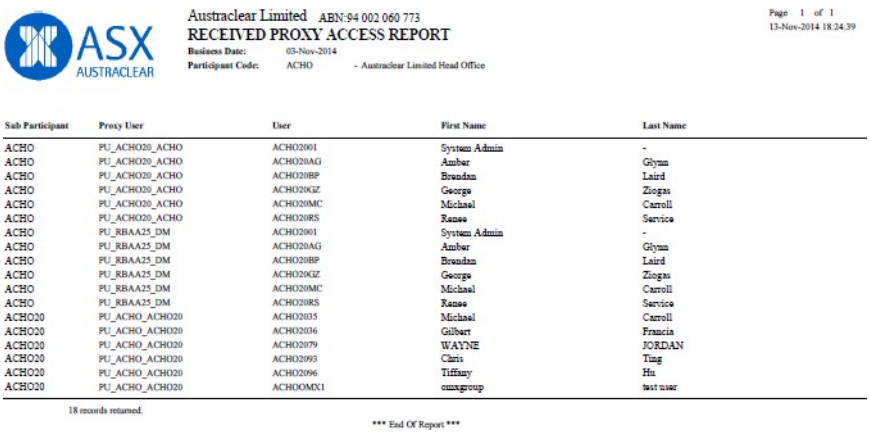
   This downloads the report. A progress bar appears at the base of the screen and confirms when the download is complete. Once the download is complete the **Print** and **Preview** options can be selected from the right-click menu.



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.





Viewing Trade Settlement Details

This functionality enables trade details to be viewed.

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.

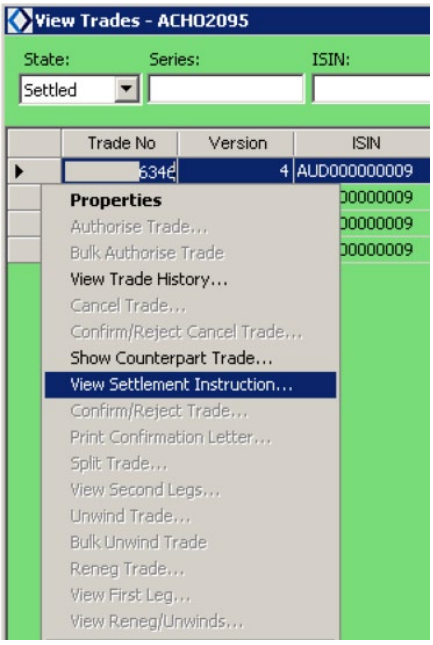
Upon completion of settlement, transactions assume a state of Settled and the Cash Records of both parties are updated.

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.

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.

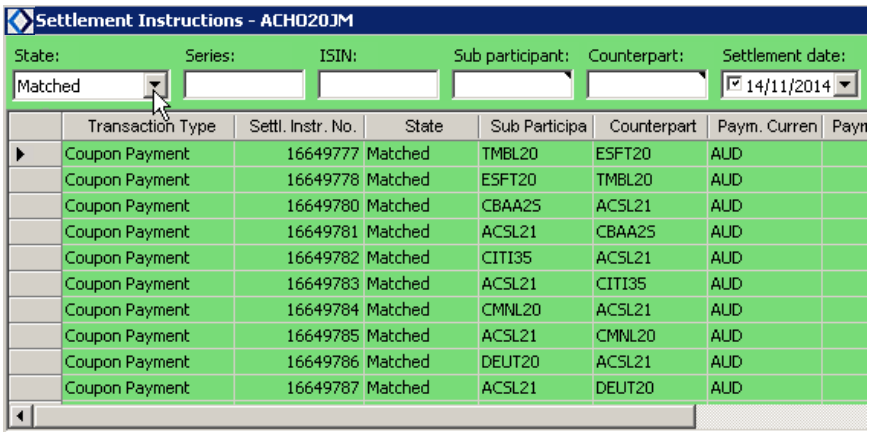
Generic Viewing of Settlement Details for Trades

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.



Transaction Type	Settl. Instr. No.	State	Sub Participa	Counterpart	Paym. Curren	Paym
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	

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.

Obligation No.	Obligation State	Settlement Date	Sub Participan	Series	Volume	Sub Account P	Security Locke	Securities Con	Obligation Gro	Obligation Gro	Time Actual	So
16055210	Not Settled	14/11/2014	ESFT20						7608171	Not Ready	12:00:00 AM	Corpor
16055211	Not Settled	14/11/2014	ACSL21						7608172	Not Ready	12:00:00 AM	Corpor
16055212	Not Settled	14/11/2014	GTAL8A						7608173	Not Ready	12:00:00 AM	Corpor
16055213	Not Settled	14/11/2014	CMFS20						7608174	Not Ready	12:00:00 AM	Corpor
16055214	Not Settled	14/11/2014	GTAL8A						7608175	Not Ready	12:00:00 AM	Corpor
16055215	Not Settled	14/11/2014	PNOM2I						7608176	Not Ready	12:00:00 AM	Corpor
16055216	Not Settled	14/11/2014	TORW20						7608177	Not Ready	12:00:00 AM	Corpor
16055223	Ready To Settle	14/11/2014	TMBL20						7608184	Not Ready	12:00:00 AM	Corpor
16055224	Waiting In Queue	14/11/2014	ESFT20						7608184	Not Ready	12:00:00 AM	Corpor
16055225	Ready To Settle	14/11/2014	CBAA2S						7608185	Not Ready	12:00:00 AM	Corpor
16055226	Waiting In Queue	14/11/2014	ACSL21						7608185	Not Ready	12:00:00 AM	Corpor
16055227	Ready To Settle	14/11/2014	CITI35						7608186	Not Ready	12:00:00 AM	Corpor

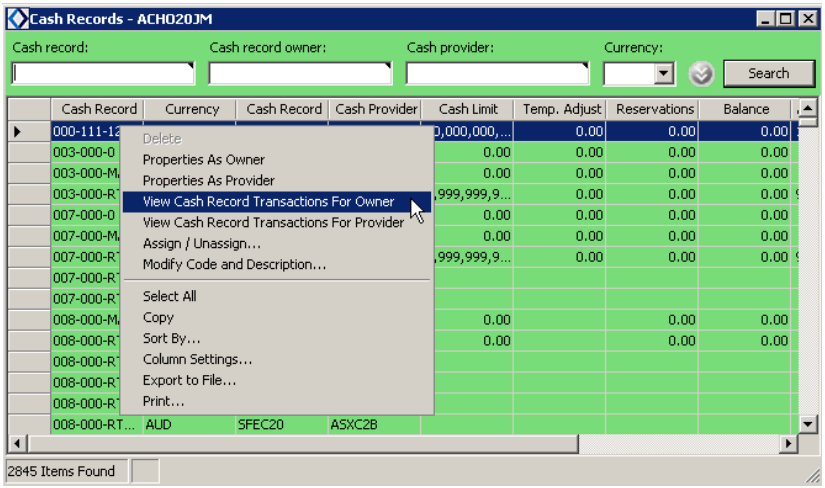
Viewing Cash Record Balance

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**.

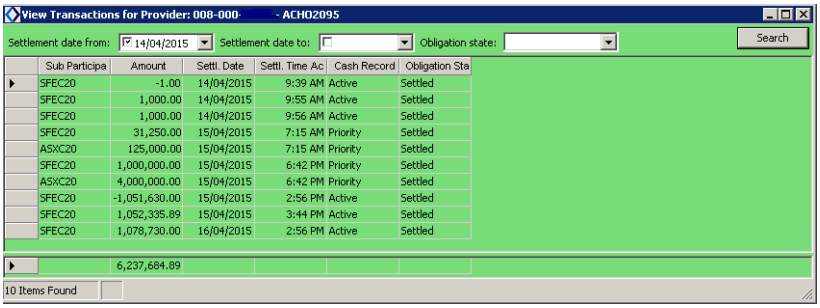
   The cash records are displayed.
3. Select the required cash record.

4. Right-click and select **View Cash Record Transactions For Owner/Provider**.



5. Select the date range and click **Search.**

   This displays the transactions for the cash record.

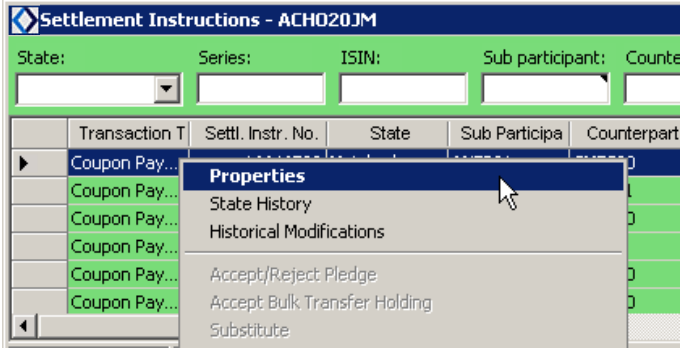


Viewing of Settlement Details for DSS/FIS Trades

To view settlement details of a single trade:

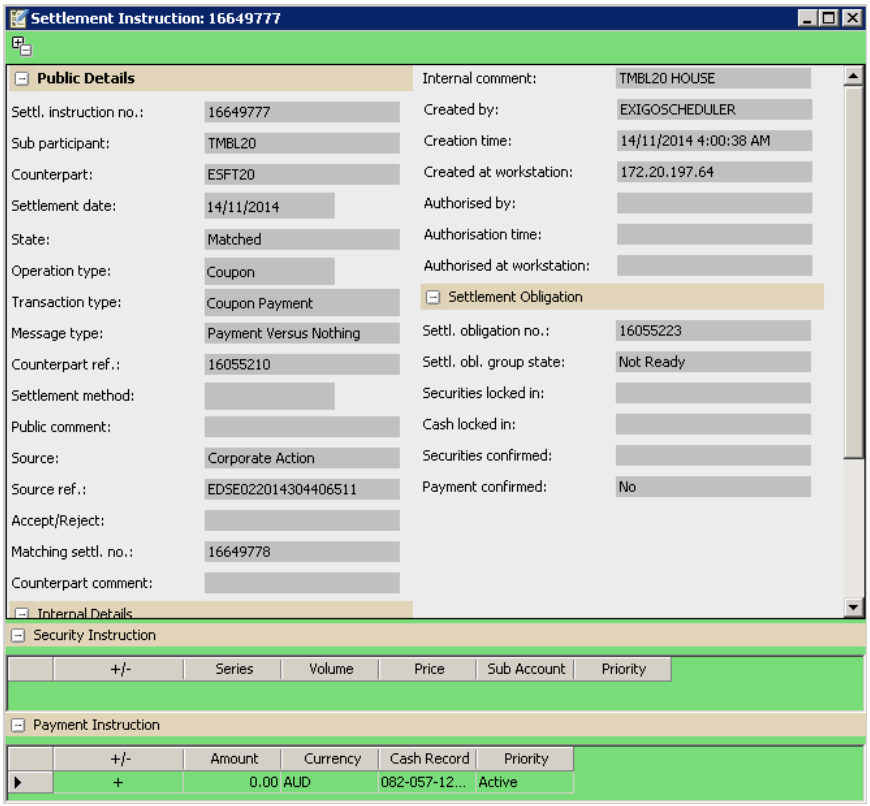
1. Select **Settlement>View Settlements>Settlement Instructions**. This opens the *Settlement Instructions* screen.
2. Specify search criteria, and click **Search**.

   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**.

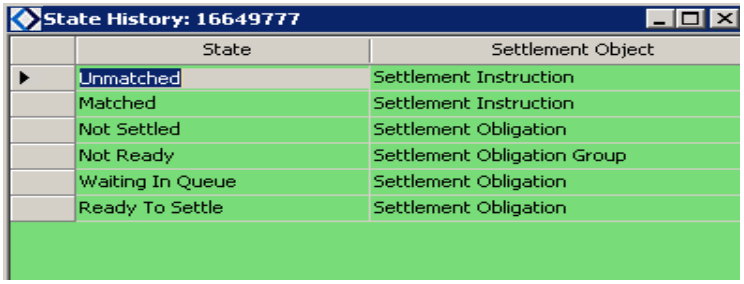


5. This displays the details for the selected transaction.

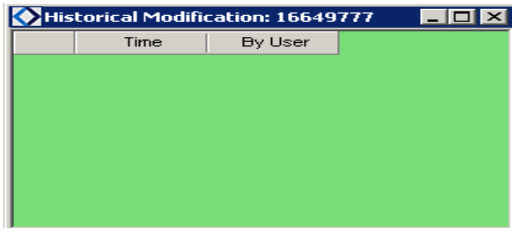
Selecting *Properties* displays the *Settlement Instruction* screen with the settlement instruction details for the selected transactions



Selecting *State History* displays the state of the settlement object.



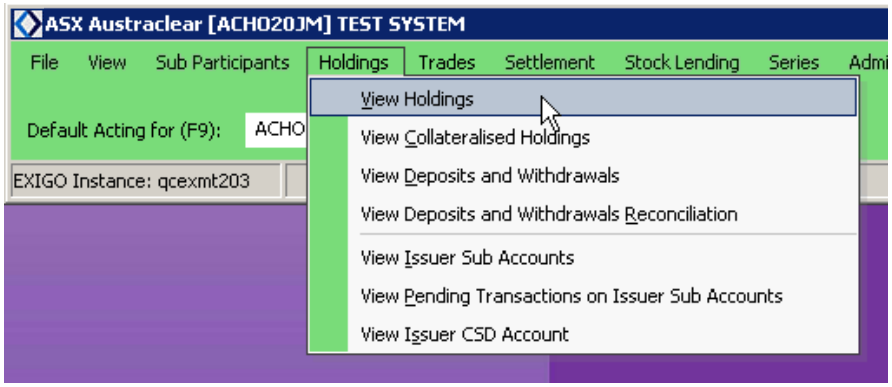
Selecting *Historical Modifications* displays the instruction that was modified and by which user.



Viewing of Settlement Details for DSS/FIS Trades

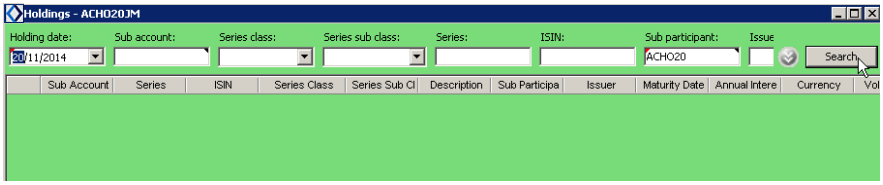
To view holdings:

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.



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.

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.

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.

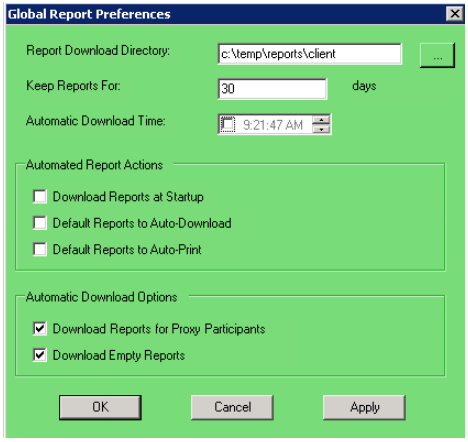
A list of all available reports, descriptions and formats can be found at the end of this section in *Report Types and Descriptions*.

Setting the Global Report Preferences

For global report preferences:

1. Select **View>Reports>Properties**.

   This opens the *Global Report Preferences* screen.



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**.

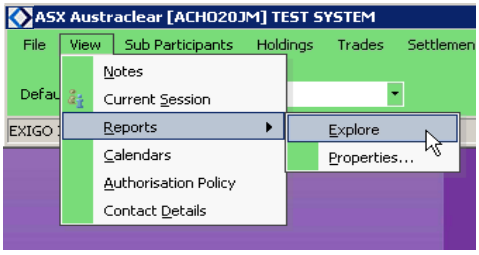
Setting Individual Report Preferences

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**.

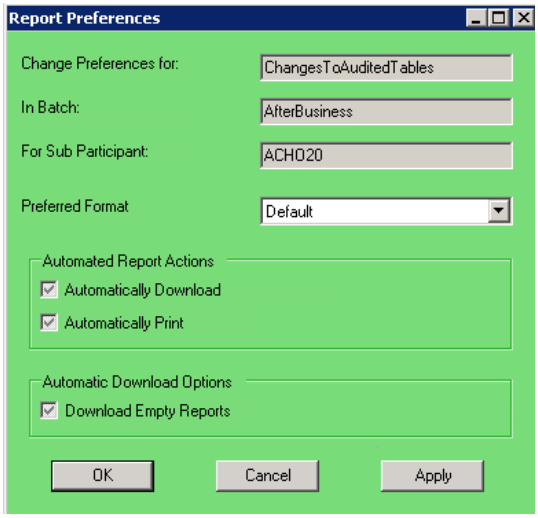
   This displays the *Reports* screen.



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.



Setting the Report Print Preference to Manual

To set the print preference manually:

1. Select **View>Reports>Explore**. This displays the *Reports* screen.
2. Select the required report date from *Report* date pull-down menu.
3. Click **Search**.
4. Select the required report.
5. 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.

Reports from the Sub Participants, Holdings, Trades and Settlement Functions

Viewing Reports for Reported/Open Trades

To view reports for reported/open trades:

1. Select **Trades>View Trades**.

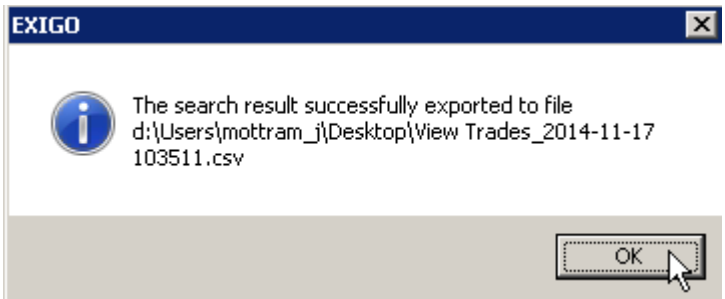
   This displays the *View Trades* screen.
2. Specify search criteria and click **Search**.

   This displays all trades that a user is party or proxy to.
3. Right-click on the top row and select **Export to File**.

   This enables a Reported Trade Report to be saved in CSV format.
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.



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.

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.

5. 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).

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:

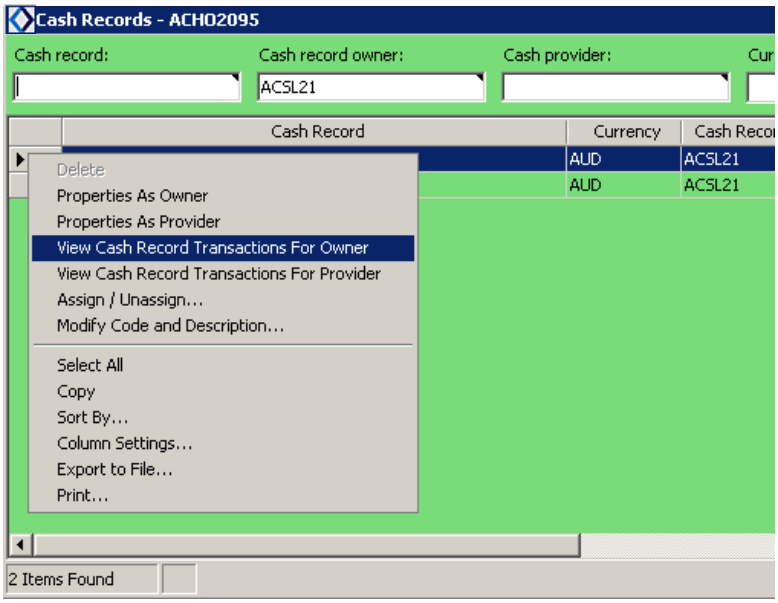
1. Select Sub **Participants>Cash Records>View**.

   This displays the *Cash Records* screen.

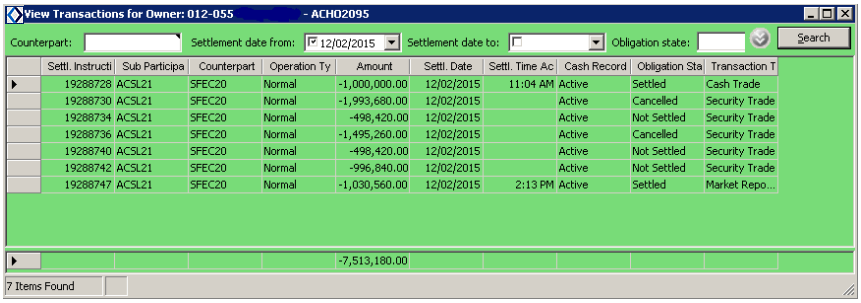
2. Specify search criteria and click **Search**. This displays the user's cash records.

3. Select the required cash record.

4. Right-click and select **View Cash Record Transactions For Owner/Provider**.



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



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**.

Viewing the Holdings Report

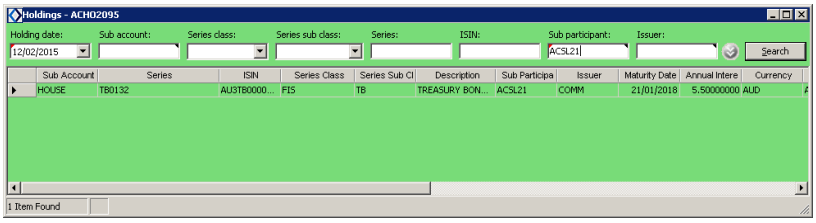
To view a holdings report:

1. Select **Holdings>View Holdings.**

This displays the *Holdings* screen.

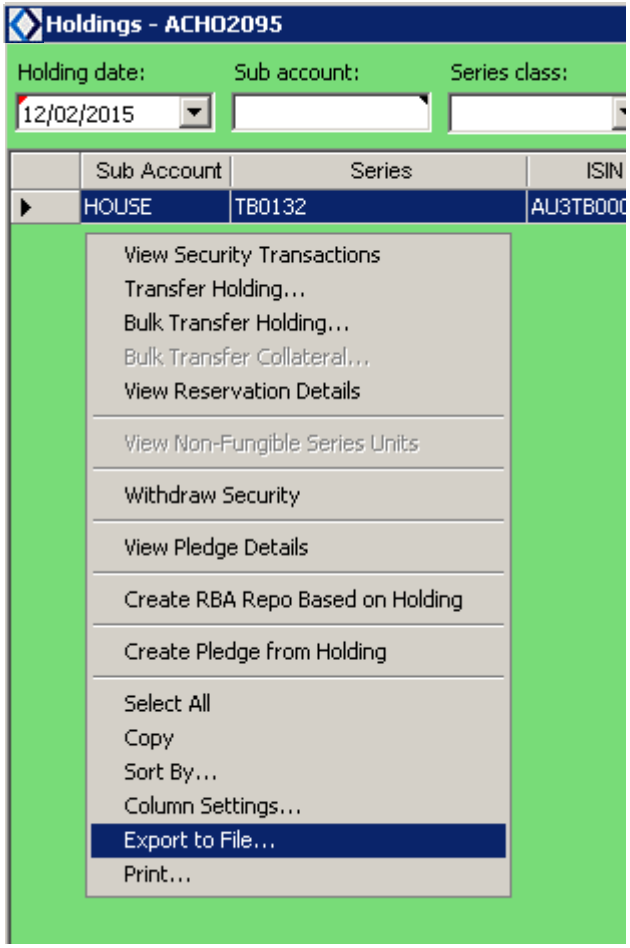
2. Specify search criteria and click **Search**.

This displays the participant's holdings for the current day.



3. Select the required holding.
4. Right-click and select **Export to File**.

   This enables a Holdings report to be produced in CSV format.



5. Specify the required file name and location, and click **Save**. This saves the report to the specified location.
6. Click **OK**.

Report Types and Descriptions

The ASX Austraclear System supports only **PDF** and **CSV** formats.

Report Name	Report Description	Format
DSS Open Trade Report	Displays all DSS 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
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
Available for Issuer Representatives		
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
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 1st 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 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.	PDF and CSV

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