



CHES Release 10.0

Business and Technical Specification

ASX mFund Enhancements
CHES 10

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Document History

Version No.	Date	Description	Section
V1.0	07/02/2018	Initial business and technical specification.	All
V1.1	15/03/2018	Modifications to: <ul style="list-style-type: none"> • Simplify logic associated with the use of the Linking Transaction ID. • Rework of the Transfer functionality to meet industry requirements. • Renaming and removal of a number of Participant and Dealer Group values on the MT737/MT738 Investor Details message suite. • Addition of a HIN to the MT740. • Inclusion of 'n/a' as an allowable value on a number of new fields: <ul style="list-style-type: none"> ○ Superannuation Fund ABN ○ Entity Type ○ Address Details 1 ○ Address Details 2 ○ Address Details 3 	3.2; 3.3; 3.8.3; 3.8.4 3.6; 3.8.7 3.9.12; 3.9.13 3.9.14 3.10
V1.2	23/03/2018	The field 'APIR Code' in CHES messages MT735 and MT736 was incorrectly identified as numeric. This is a character field.	3.9.10; 3.9.11
V1.3	06/04/2018	Modifications to incorrectly documented messages: <ul style="list-style-type: none"> • MT802 • MT803 Increment of version numbers for the following messages: <ul style="list-style-type: none"> • MT729 • MT730 • MT802 • MT803 • MT808 • MT809 • MT845 • MT846 • MT967 • MT972 	3.9 3.9
V1.4	11/04/2018	Inclusion of a MT722 Fund Response message from CHES to the PISP within the transfer function. Incorrect reference in MT737 description.	3.6 3.9.13
V1.5	02/07/2018	Inclusion of text changes to highlight the removal of the AML/CTF Check Flag from a number of messages. Inclusion of redesigned: <ul style="list-style-type: none"> • Rejected Movement Reason values • Rejected Order Reason values • Rejected Transfer Reason values Reformatted MT735 Description. Inclusion of additional foreign tax validation explanations and examples.	3.2, 3.8.4 3.10 3.9.11 3.12, 3.13, 3.14

		CHES 518 rejections added.	3.15
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1 Acronym Glossary

Acronym	Definition
ABN	Australian Business Number
AFMA	Australian Financial Markets Association
APG	ASX Settlement Procedure Guidelines
ASX Clear	ASX Clear Pty Ltd
ASX Settlement	ASX Settlement Pty Ltd
ATO	Australian Tax Office
CHESS	Clearing House Electronic Sub-System
COB	Close of Business
CP	Clearing & Settlement Participant
CRS	Common Reporting Standard
DRP	Distribution Re-investment Plan
DvP	Delivery versus Payment
EIS	CHESS External Interface Specification
FATCA	Foreign Account Tax Compliance Act (US)
HIN	Holder Identification Number (CHESS)
ISV	Information Service Vendor
KYC	Know Your Client
PISP	Product Issuer Settlement Participant
NFE	Non-Financial Entity
RBA	Reserve Bank of Australia
RPP	Regular Payment Plan
SMSF	Self Managed Superannuation Fund
TFN	Tax File Number
TIN	Tax Identification Number (as a generic term)

2 Introduction

2.1 Background

The key driver for the changes relates to the regulatory requirements for issuers of managed investment products (mFund specifically in the ASX context) to report on US investors under FATCA and globally, on foreign (other than US) investors under CRS initiatives.

Although CHESS sponsoring participants do not have a reporting obligation under FATCA/CRS, it is recognised that under their Know Your Client (KYC) requirements and the general client on-boarding process, they are best positioned to assist issuers to identify the foreign tax status of their sponsored investors, and for those issuers to undertake a follow up process with investors designated as foreign if deemed necessary by the issuer.

ASX currently provides, through CHESS mFund, a mechanism for accepting a participant's confirmation that FATCA (US) checks have been conducted on an investor. This value is passed to the PISP by way of the mFund application, redemption and switch message suites. This proposal will see a more comprehensive solution put in place that provides the basic underlying data to support those checks to meet foreign tax status requirements.

Static investor details are to be removed from the existing mFund application, redemption and switch message suites and included in a separate new mFund message suite. This new message suite would be expected to be sent alongside any initial application request, along with the foreign tax status, and will also allow participants to amend an investors details as required.

Due to the impact of changes to the application process for 'Initial' application requests, the *Fund Settlement Cut-Off* time will be changed to 11:00am (EST) from the current 11:15 (EST). This will extend the window for PISPs to respond to an application request.

2.2 Consultation

ASX has consulted widely with CHESS mFund participants, issuers, PISPs, registries and CHESS ISVs on the business and technical aspects of the proposed CHESS 10 enhancements. The culmination of these consultations are presented in this document.

Note that any necessary rule amendments associated with the changes proposed in this document are subject to regulatory clearance.

2.3 Scope of Enhancements

2.3.1 Foreign Tax Status Determination

Enhancements in CHESS to meet foreign tax status initiatives are targeted specifically at mFund.

CHESS mFund sponsoring participants will be required to capture and maintain the foreign tax status for all participant sponsored (HIN) investors for any investment in an mFund product.

Foreign tax status details will pass, via a new mFund message suite, to both the issuer registry and the PISP. The foreign tax status must accompany any 'Initial' mFund application and transfer request. Foreign tax status may also be sent to update existing foreign tax status details.

Existing CHESS mFund messages that carry the '*FATCA Questions*' field will have this field removed, this impacts the application, redemption, switch and conversion message suites.

Foreign tax details will NOT be stored for privacy considerations (as per ASX TFN processing). This implies that no CHESS reporting will show these details and CHESS Operations will be unable to answer any investor queries regarding an investor's foreign tax status. The assumption is that issuer registries will provide the requisite services to support their investors in this regard.

Sponsored investors (HIN) in the following mFund products must provide their foreign tax status:

Description	Security Type
mFund High Denomination	35
mFund	38
QDB Structured Product Calls	55
QDB Structured Product Puts	56
QDB Structured Product Calls High Denomination	57
QDB Structured Product Puts High Denomination	58

2.3.2 Investor Details

Investor details are to be removed from the existing application, redemption and switch message suites and included in a new message suite.

Investor details will pass, via a new mFund message suite, to both the issuer registry and the PISP. The investor details must accompany an 'Initial' mFund application and transfer request.

Investor details will NOT be stored by CHESS.

2.3.3 Annual Income Statements

CHES Release 9 introduced functionality to support Annual Income Statements. A number of minor discrepancies have been identified post the release. These are noted here and will be rectified as part of CHES Release 10.

1. ASX Settlement has identified two discrepancies relating to field descriptions contained in the *Part A* Annual Income Statement messages (MT957, MT962) versus the correct ATO Standard Distribution Statement (SDS) description. Additional information about this error is contained under Section 28.7.5 of the *ASX Settlement Procedure Guidelines (APG)*.

CHES Message	Field Name	Corrected Field Name
MT957	Trust Franked Deductions	Trust Franked Distributions
MT962	Trust Franked Deductions	Trust Franked Distributions
MT957	Non Primary Deductions	Non Primary Distribution Deductions
MT962	Non Primary Deductions	Non Primary Distribution Deductions

2. In addition, a component contained within the ATO Standard Distribution Statement (SDS) under *Part C* 'non-assessable' Income has been omitted from the relevant Annual Income Statement CHES message (MT967, MT972).

CHES Message	Field Name
MT967	NA Tax Free Amounts Cash
MT972	NA Tax Free Amounts Cash

This omission currently affects Annual Income Statement requests where the relevant mFund distributes 'tax-free' income. As a result, any Annual Income Statement request submitted by a ASX Participant in relation to an affected mFund will be rejected by the Registry with a Rejected Reason code of 'Z' = *Please contact registry directly for further detail*. Additional information about this error is contained under Section 28.7.5 of the *ASX Settlement Procedure Guidelines (APG)*.

2.3.4 SRN Removal

Existing CHES mFund functions that include specific issuer sponsored SRN functionality will see this functionality discontinued. mFund will provide participant sponsored HIN functionality only.

This does not apply to Conversion functionality where the ability to convert between registers will be maintained, nor to the Participant initiated SRN mFund balance enquiry function.

2.3.5 Fund Transfer

Subject to regulatory clearance.

A transfer function will be introduced to allow a Participant to move mFund units between HINs under its control as approved by the PISP. This function will allow full or partial (Number of Units) to be transferred.

To ensure that the PISP and the Registry receives the same level of detail, in terms of AML/KYC, foreign tax status and investor details, for the HIN receiving the units; each transfer request must be accompanied by associated foreign tax status and investor details.

2.3.6 Unit Adjustment

The existing CHES mFund messages that convey adjustments to unit (holding) quantity will be modified to include a Unit Price field as optional. This is primarily to allow the PISP, in the case of adjustments for DRP, to notify the participant of the Unit Price.

2.4 Testing

To facilitate stakeholder readiness for the changes, the CHES Release Test Environment (RTE) will be made available on a date detailed in the Project Timeline on the [CHES 10 Project Website](#).

Mandatory and Conditional Mandatory data changes will require CHES Accreditation. Accreditation completion dates and information will be communicated closer to the time.

Note that ASX Participants, registries, PISPs and CHES ISVs must develop and ensure that optional fields within mandatory messages are included. Accreditation will include optional fields within mandatory messages.

Impacted parties are required to have their CHES mFund Interface ('system') accredited for the processing of new and modified messages.

2.5 Implementation Date

CHES Release 10.0 will be effective on a date detailed in the Project Timeline on the [CHES 10 Project Website](#).

2.6 Parties Impacted by this Change

mFund specific ASX Participants, registries, PISPs and CHES ISVs.

2.7 Next Steps

Parties impacted by this change should use the information in this document to carry out analysis and assessment of changes required within their systems and processes. Further technical details, for example rejection reasons, will be confirmed prior to the commencement of user acceptance testing.

2.8 Contacting ASX – CHES mFund Enhancements

For information regarding CHES Release 10.0:

Contact: CHES10@asx.com.au; or refer to the [CHES 10 Project Website](#)

3 Overview of CHESS mFund Enhancements

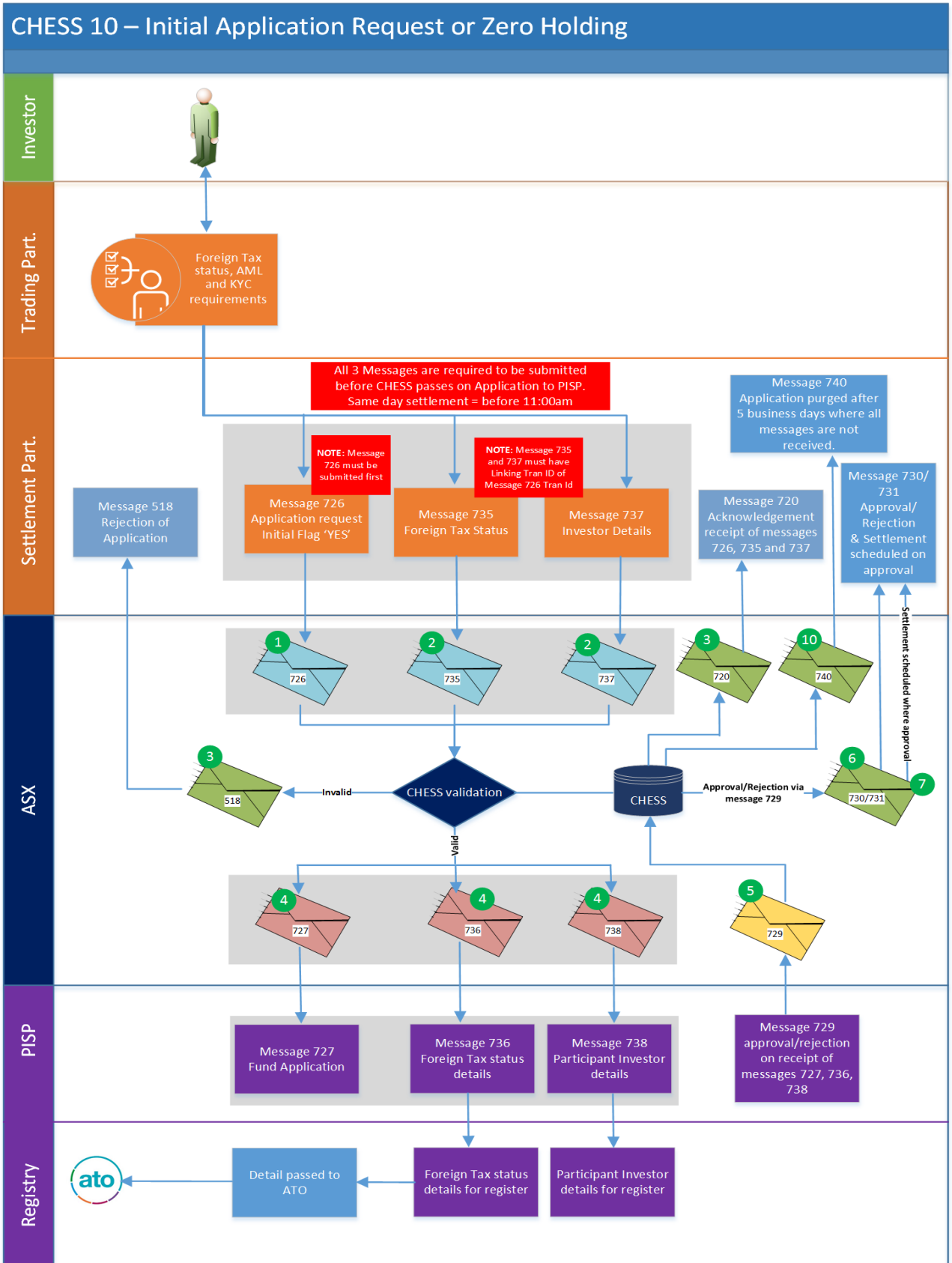
3.1 Application Request Impact

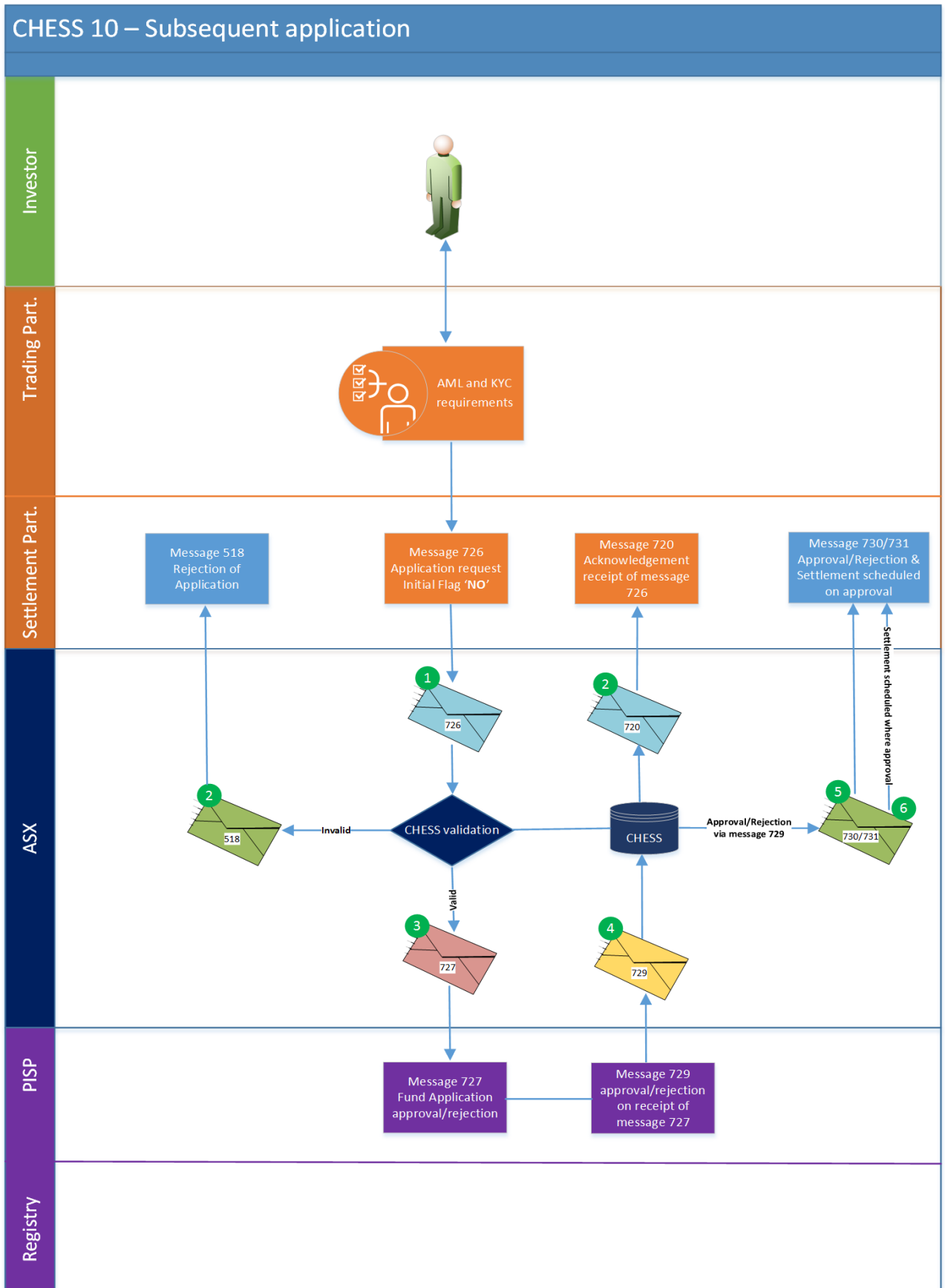
The existing application request process is based on a Participant sending a single CHESS message request (MT726) through to CHESS and on to the PISP for acceptance or rejection. This process will remain in place for 'Subsequent' application requests only. In the case of an 'Initial' application request the process outlined in 3.8.1 will take effect.

Due to the impact of changes to the application process for 'Initial' application requests, the *Fund Settlement Cut-Off* time will be changed to 11:00am (EST) from the current 11:15 (EST). This will extend the window for PISPs to respond to requests.

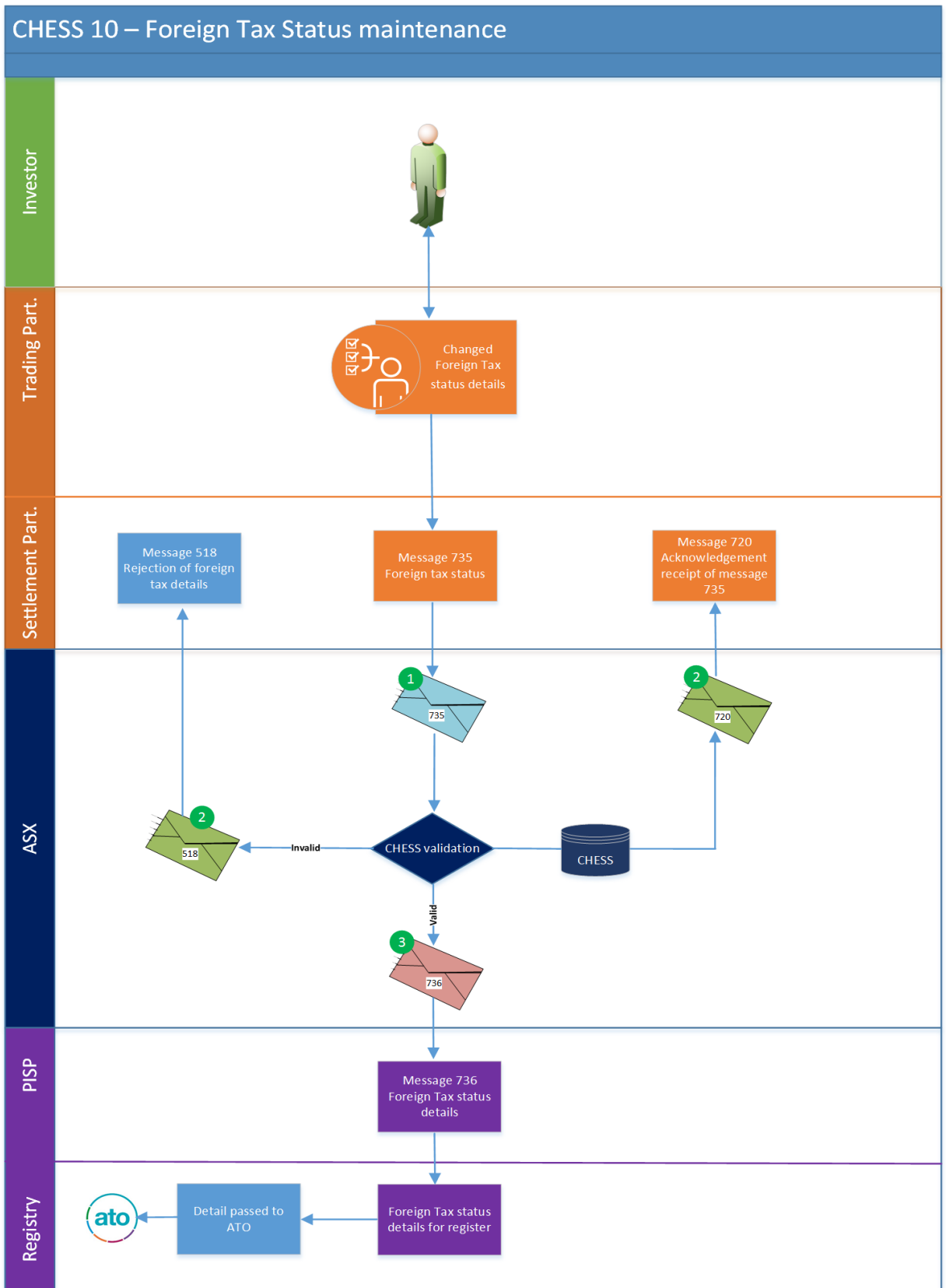
With the inclusion of the Foreign Tax Status and Investor Details message suites, there are marked changes to the workflows required to support application requests. There are workflow diagrams included below showing:

1. Applications which are deemed as being an 'Initial' request. Initial being either the first instance where units in a particular fund have been requested or where an existing holding in that fund has a zero balance.
2. Applications which are deemed as being a 'Subsequent' request. Subsequent being where an existing holding in a particular fund exists and has a non-zero balance.






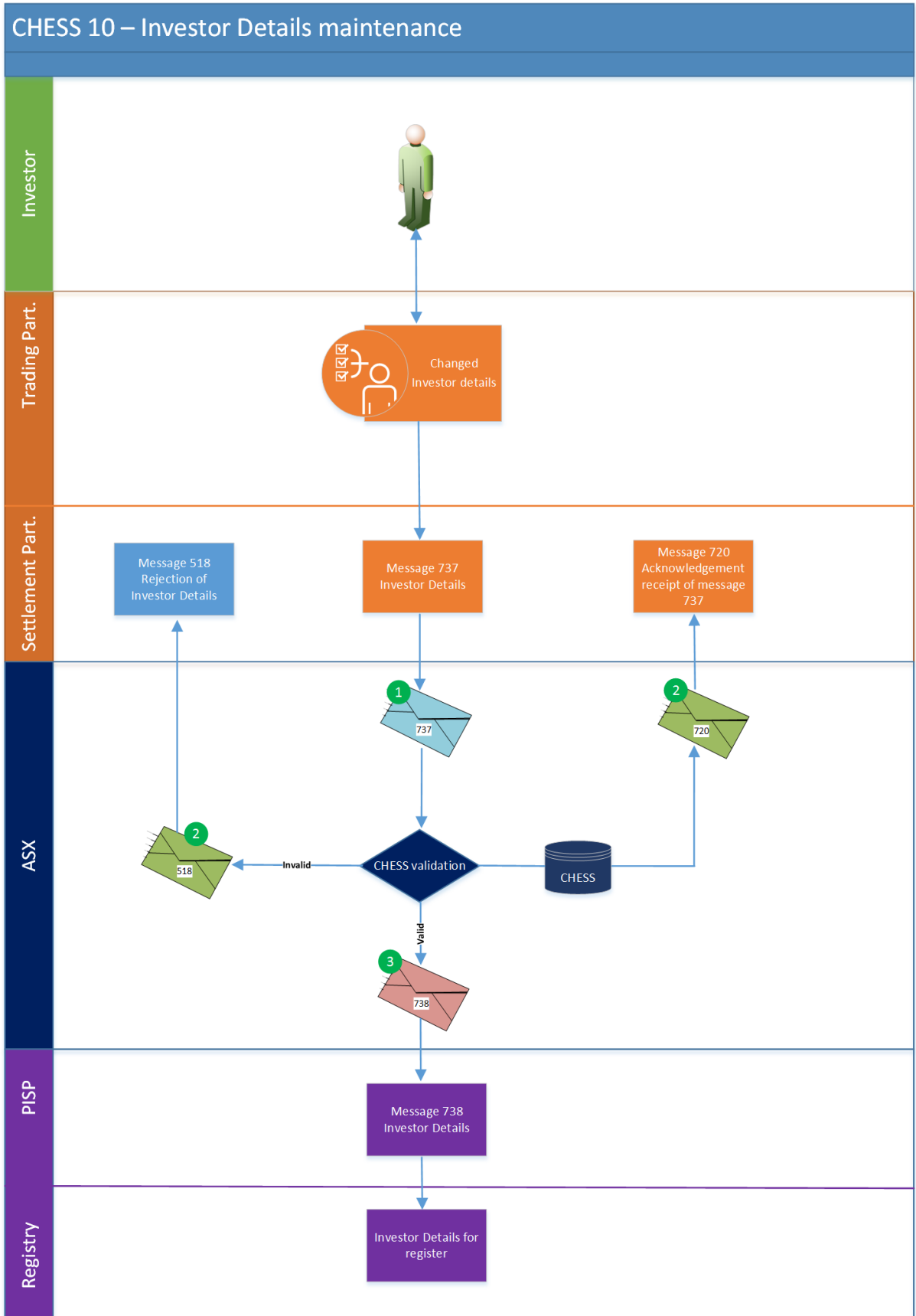
3.2 Foreign Tax Status Determination




Impacted Parties	Mandatory for mFund ASX Participants (as HIN sponsor), Registries, PISPs, CHES ISVs.
Impacted Products	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
Description	<p>For mFund sponsoring Participants, registries and PISPs; a new CHES message suite will be created specifically to accommodate foreign tax details.</p> <p>A number of existing CHES message fields in various messages; namely 'FATCA Questions', the 'Tax Residence' fields and the 'AML/CTF Check Flag', will be removed.</p> <p>mFund sponsoring Participants will determine the foreign tax status of all new and, if required under ASX Rules, existing sponsored investors; and submit this data as part of any 'Initial' application request or to update an existing foreign tax status via the new message suite.</p> <p>When supplied with an 'Initial' application request, it is important to note that the following messages are provided to ensure that the application has the appropriate supporting data to be accepted by the PISP/registry:</p> <ul style="list-style-type: none"> • MT726 Application Request • MT735 Foreign Tax Status • MT737 Investor Details <p>CHES will only forward an 'Initial' application request through to the PISP once all 3 messages have been provided. Refer 3.8.1. Where all 3 messages are not received by CHES within 5 Business Days, CHES will cancel the application request and inform the requesting Participant via a new MT740 Cancelled Fund Request (refer 3.8.2 <i>Incomplete Request Cancellation</i>).</p> <p>For 'Initial' application requests, the Linking Transaction Id field of the MT735 Foreign Tax Status must equal the Transaction Id of the MT726 Application Request. Where an MT735 is received by the PISP/registry to support an application and is not acceptable to the PISP/Registry, the PISP/registry may reject the request via the MT729 Application Order Response. Additional rejection reasons are available.</p> <p>For standalone requests to update the Foreign Tax Status, the Linking Transaction Id field of the MT735 Foreign Tax Status must equal the Transaction Id of the MT735 Foreign Tax Status.</p> <p>For the new CHES to CHES transfer function, the Linking Transaction Id field for the supporting MT735 Foreign Tax Status must equal the Transaction Id of the MT851 CHES to CHES Fund Transfer message.</p> <p>Foreign tax status details will NOT be stored by CHES.</p>
Likely Impact	<p>Considerations</p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> • Potential changes to new CHES sponsored client on-boarding process. • Foreign tax status determination results to be provided to both PISPs and registries via a new dedicated CHES message suite alongside any initial mFund application request. • For 'Initial' application requests, the Linking Transaction Id field of the MT735 Foreign Tax Status must equal the Transaction Id of the MT726 Application Request. This is intended to aid identification by the PISP. • For standalone requests to update the Foreign Tax Status, the Linking Transaction Id field of the MT735 Foreign Tax Status must equal the Transaction Id of the MT735 Foreign Tax Status.

	<ul style="list-style-type: none"> For a transfer request, the Transaction ID of the MT851 CHES To CHES Fund Transfer Request Application Request must be included as the Linking Transaction Id in the MT735 Foreign Tax Status message – this is intended to aid identification by the PISP. <p>PISPs/Registries:</p> <ul style="list-style-type: none"> Where an ‘Initial’ application request is processed, acceptance of the application request must also be based on acceptance of both foreign tax status and investor details. Changes to processes for PISPs and registries that support issuers’ products requiring foreign tax status determination. <p>ASX Rules</p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate foreign tax status changes as required.</p> <p>ASX Documentation</p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p>CHES PC</p> <p>CHES PC will be upgraded for all new and modified CHES fields and messages.</p> <p>New Messages</p> <p>MT735 Foreign Tax Status MT736 Foreign Tax Status Details MT740 Cancelled Fund Request</p> <p>Modified Messages</p> <p>MT718 Issuer Sponsored Fund to CHES Conversion Request MT719 Issuer Sponsored Fund to CHES Authorisation Request MT720 Accepted Participant Request (Pre-Requisites modified) MT726 Application Request MT727 Application Order Request MT800 Redemption Request MT801 Redemption Order Request MT806 Switch Request MT807 Switch Order Request</p>
	<p>Refer <i>3.8.3 Foreign Tax Status Enhancements</i></p> <p>Refer <i>3.9 CHES Messages</i></p> <p>Refer <i>3.10 CHES Field Definitions</i></p> <p>Refer <i>3.11 Foreign Tax Determination Matrix</i></p>


3.3 Investor Details



Impacted Parties	Mandatory for mFund ASX Participants, Registries, PISPs, CHES ISVs.
Impacted Products	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
Description	<p>Investor details are to be removed from the existing application, redemption and switch message suites and included in a separate new message suite. This new message suite would be expected to be sent alongside an application request, and would also allow participants to amend an investors details as required.</p> <p>When supplied with an ‘Initial’ application request, it is important to note that the following messages are provided to ensure that the application has the appropriate supporting data to be accepted by the PISP/registry:</p> <ul style="list-style-type: none"> • MT726 Application Request • MT735 Foreign Tax Status • MT737 Investor Details <p>CHES will only forward an ‘Initial’ application request through to the PISP once all 3 messages have been provided. Refer 3.8.1. Where all 3 messages are not received by CHES within 5 Business Days, CHES will cancel the application request and inform the requesting Participant via a new MT740 Cancelled Fund Request (refer 3.8.2 <i>Incomplete Request Cancellation</i>).</p> <p>For ‘Initial’ application requests, the Linking Transaction Id field of the MT737 Investor Details must equal the Transaction Id of the MT726 Application Request. Where an MT737 is received by the PISP/registry to support an application and is not acceptable to the PISP/Registry, the PISP/registry may reject the request via the MT729 Application Order Response. Additional rejection reasons are available.</p> <p>For standalone requests to update the Investor Details, the Linking Transaction Id field of the MT737 Investor Details must equal the Transaction Id of the MT737 Investor Details.</p> <p>For the new CHES to CHES transfer function, the Linking Transaction Id value for the supporting MT737 Investor Details must equal the Transaction Id of the MT851 CHES to CHES Fund Transfer message.</p> <p>Investor details will NOT be stored by CHES.</p>
Likely Impact	<p>Considerations</p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> • Provision of many of the investor details are optional within the message structure; however, to meet PISP expectations, as many of these values as available, should be included. • For ‘Initial’ application requests, the Linking Transaction Id field of the MT737 Investor Details must equal the Transaction Id of the MT726 Application Request. This is intended to aid identification by the PISP. • For standalone requests to update the Investor Details, the Linking Transaction Id field of the MT737 Investor Details must equal the Transaction Id of the MT737 Investor Details. • For a transfer request, the Transaction ID of the MT851 CHES To CHES Fund Transfer Request Application Request must be included as the Linking Transaction Id in the MT737 Investor Details message – this is intended to aid identification by the PISP.


	<p>PISPs/Registries:</p> <ul style="list-style-type: none"> • Where an 'Initial' application request is processed, acceptance of the application request must also be based on acceptance of both foreign tax status and investor details <p>ASX Rules</p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate investor details changes as required.</p> <p>ASX Documentation</p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p>CHES PC</p> <p>CHES PC will be upgraded for all new and modified CHES fields and messages.</p> <p>New Messages</p> <p>MT737 Investor Details MT738 Participant Investor Details MT740 Cancelled Fund Request</p> <p>Modified Messages</p> <p>MT720 Accepted Participant Request (Pre-Requisites modified) MT726 Application Request MT727 Application Order Request MT800 Redemption Request MT801 Redemption Order Request MT806 Switch Request MT807 Switch Order Request</p>
	<p>Refer <i>3.8.4 Investor Details Enhancements</i> Refer <i>3.9 CHES Messages</i> Refer <i>3.10 CHES Field Definitions</i></p>

3.4 Annual Income Statements

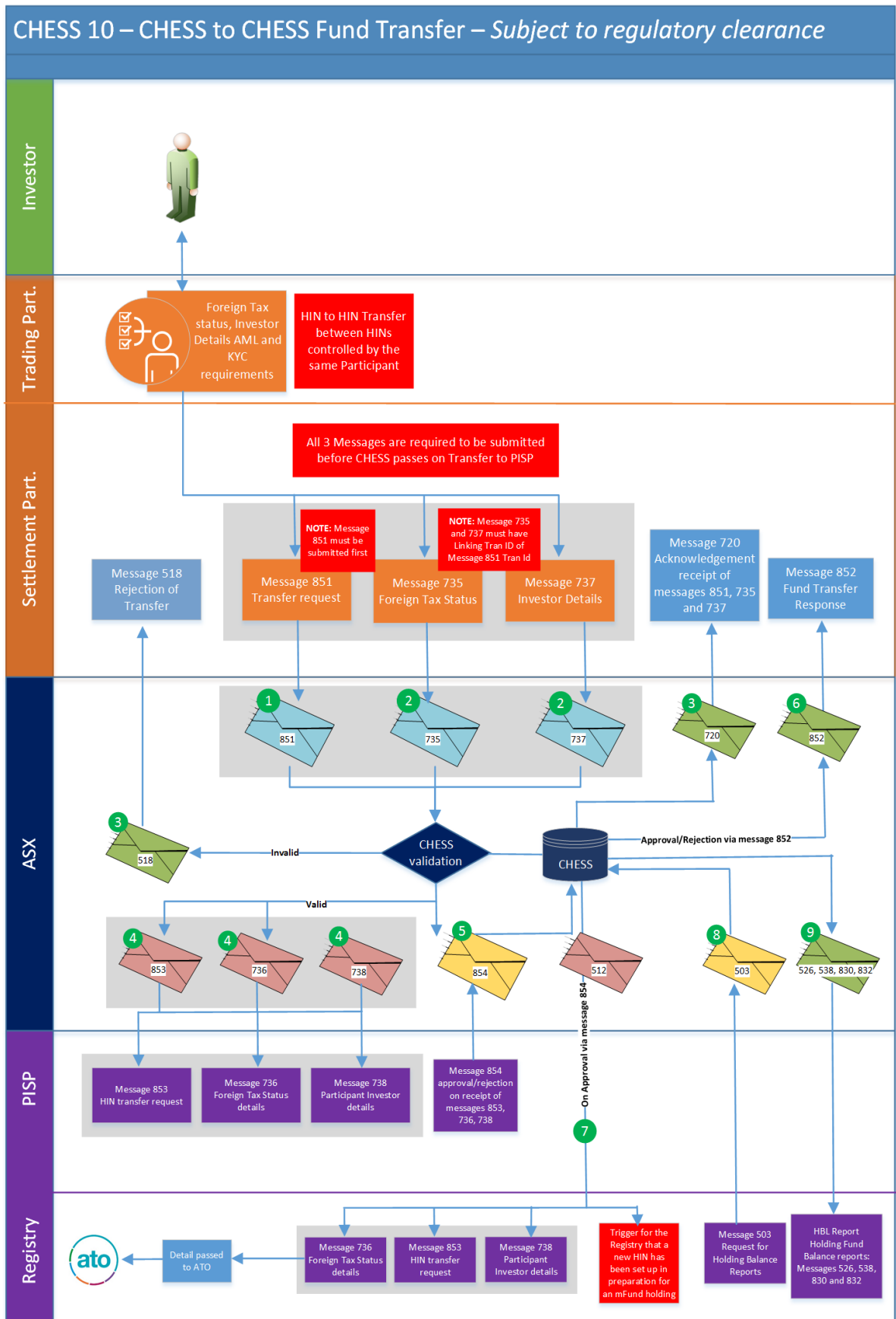
Impacted Parties	Mandatory for mFund ASX Participants (as HIN sponsor), Registries, PISPs, CHES ISVs that have previously included the Annual Income Statement Function.
Impacted Products	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
Description	<p>The Annual Income Statement function (included as part of CHES Release 9) has a number of minor discrepancies that are to be addressed via this release. These are:</p> <p>A missing field value from the Part C tax component for ‘non-assessable’ income; namely: <i>NA Tax Free Amounts Cash</i> and Incorrectly named fields in the Part A messages; namely: <i>Trust Franked Distributions</i> has been published incorrectly in the CHES message as <i>Trust Franked Deductions</i>; and <i>Non Primary Distribution Deductions</i> has been published incorrectly in the CHES message as <i>Non Primary Deductions</i>.</p>
Likely Impact	<p>ASX Documentation</p> <p>Additional information about these discrepancies is contained under Section 28.7.5 of the <i>ASX Settlement Procedure Guidelines (APG)</i>.</p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p>CHES PC</p> <p>CHES PC will be upgraded for modified CHES fields and field names.</p> <p>Modified Messages</p> <p>MT957 Registry Income Statement Part A MT962 Participant Income Statement Part A MT967 Registry Income Statement Part C NA MT972 Participant Income Statement Part C NA</p>
	<p>Refer 3.8.5 <i>Annual Income Statements</i></p> <p>Refer 3.9 <i>CHES Messages</i></p> <p>Refer 3.10 <i>CHES Field Definitions</i></p>

3.5 SRN Removal


Impacted Parties	Mandatory for mFund ASX Participants, Registries, PISPs, CHES ISVs.
Impacted Products	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
Description	<p>Existing CHES mFund functions that include specific issuer sponsored SRN functionality will see this functionality discontinued. This does not apply to the Participant initiated SRN mFund balance enquiry function nor to conversion functionality where the ability to convert between registers will be maintained. mFund will provide participant sponsored HIN functionality only.</p> <p>This will impact a number of mFund messages that currently carry either or both SRN and the Registration Details (used where an SRN is not available).</p> <p>Note that the Registration Details field on the MT727 Application Order Request will now carry the HIN Registration Details as a re-purposed value for the PISP.</p>
Likely Impact	<p>Considerations</p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> Only participant sponsored HINs will be catered for. <p>PISP:</p> <ul style="list-style-type: none"> On the MT727 Application Order Request the HIN Registration Details will be provided. <p>ASX Rules</p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate changes as required.</p> <p>ASX Documentation</p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p>CHES PC</p> <p>CHES PC will be upgraded for modified CHES messages.</p> <p>New Messages</p> <p>None</p> <p>Modified Messages</p> <p>MT726 Application Request MT727 Application Order Request MT729 Application Order/Payment Plan Application Response MT730 Effected Application Order/Payment Plan Application Response MT800 Redemption Request MT801 Redemption Order Request MT802 Redemption Order Response MT803 Effected Redemption Order Request MT806 Switch Request MT807 Switch Order Request MT808 Switch Order Response MT809 Effected Switch Order Request</p>

	<p>MT845 Unit Reversal Notification MT846 Effected Unit Reversal Notification</p>
	<p>Refer <i>3.8.6 SRN Removal</i> Refer <i>3.9 CHES Messages</i> Refer <i>3.10 CHES Field Definitions</i></p>


3.6 Fund Transfer (Subject to regulatory clearance)



Impacted Parties	Mandatory for mFund ASX Participants, Registries, PISPs, CHES ISVs.
Impacted Products	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
Description	<p>Allows a Participant to request the transfer of mFund units between HINs under its control. This function will allow full or partial (Number of Units) to be transferred.</p> <p>A transfer request must be accompanied by:</p> <ul style="list-style-type: none"> • MT735 Foreign Tax Status • MT737 Investor Details <p>CHES will only forward a transfer request through to the PISP where all 3 messages have been provided and passed CHES validation. Where all 3 messages are not received by CHES within 5 Business Days, CHES will cancel the transfer request and inform the requesting Participant via a new MT740 Cancelled Fund Request (refer 3.8.2 <i>Incomplete Request Cancellation</i>).</p> <p>The transfer request will be forwarded by CHES to the PISP for approval, along with the requisite foreign tax status and investor details.</p> <p>The introduction of Rejected Transfer Reasons within the transfer message suite will allow the PISP to reject transfers via the MT854 CHES to CHES Transfer Response not only for the MT851 CHES to CHES Fund Transfer Request itself, but also where the supporting MT738 Participant Investor Details and MT736 Foreign Tax Status Details messages have not been received.</p> <p>Upon PISP approval, CHES will action the transfer and provide notification to the requesting Participant of the new balances for both the delivering HIN and the receiving HIN. CHES will then forward a MT512 Holding Registration Details notification informing the registry of a new holding for the receiving HIN; followed by the transfer request and supporting Foreign Tax Status and Investor Details. This will ensure that when the registry processes the transfer request, the receiving HIN will have all the required data and controls for that holding.</p> <p>Registry requested CHES reporting will confirm the delivering and receiving HINs impacted by the transfer, and provide the new holding balances.</p>
Likely Impact	<p>Considerations</p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> • Only HINS controlling by the same participant may be transferred. • Full or partial holdings for a HIN/Fund may be transferred. <p>PISP:</p> <ul style="list-style-type: none"> • Transfer details for the reconciliation of holdings is only available via CHES reporting and may be requested by the registry and the participant. <p>ASX Rules</p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate changes as required.</p> <p>ASX Documentation</p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p>

	<p>CHES PC</p> <p>CHES PC will be upgraded for new and modified CHES messages.</p> <p>New Messages</p> <p>MT735 Foreign Tax Status MT736 Foreign Tax Status Details MT737 Investor Details MT738 Participant Investor Details MT740 Cancelled Fund Request MT851 CHES to CHES Fund Transfer Request MT852 Fund Transfer Response MT853 CHES to CHES Fund Transfer Request Details MT854 CHES to CHES Fund Transfer Response</p> <p>Modified Messages</p> <p>MT720 Accepted Participant Request (Pre-Requisites modified) MT722 Fund Response (Pre-Requisites modified)</p>
	<p>Refer <i>3.8.7 Fund Transfer</i> Refer <i>3.9 CHES Messages</i> Refer <i>3.10 CHES Field Definitions</i></p>

3.7 Unit Adjustment

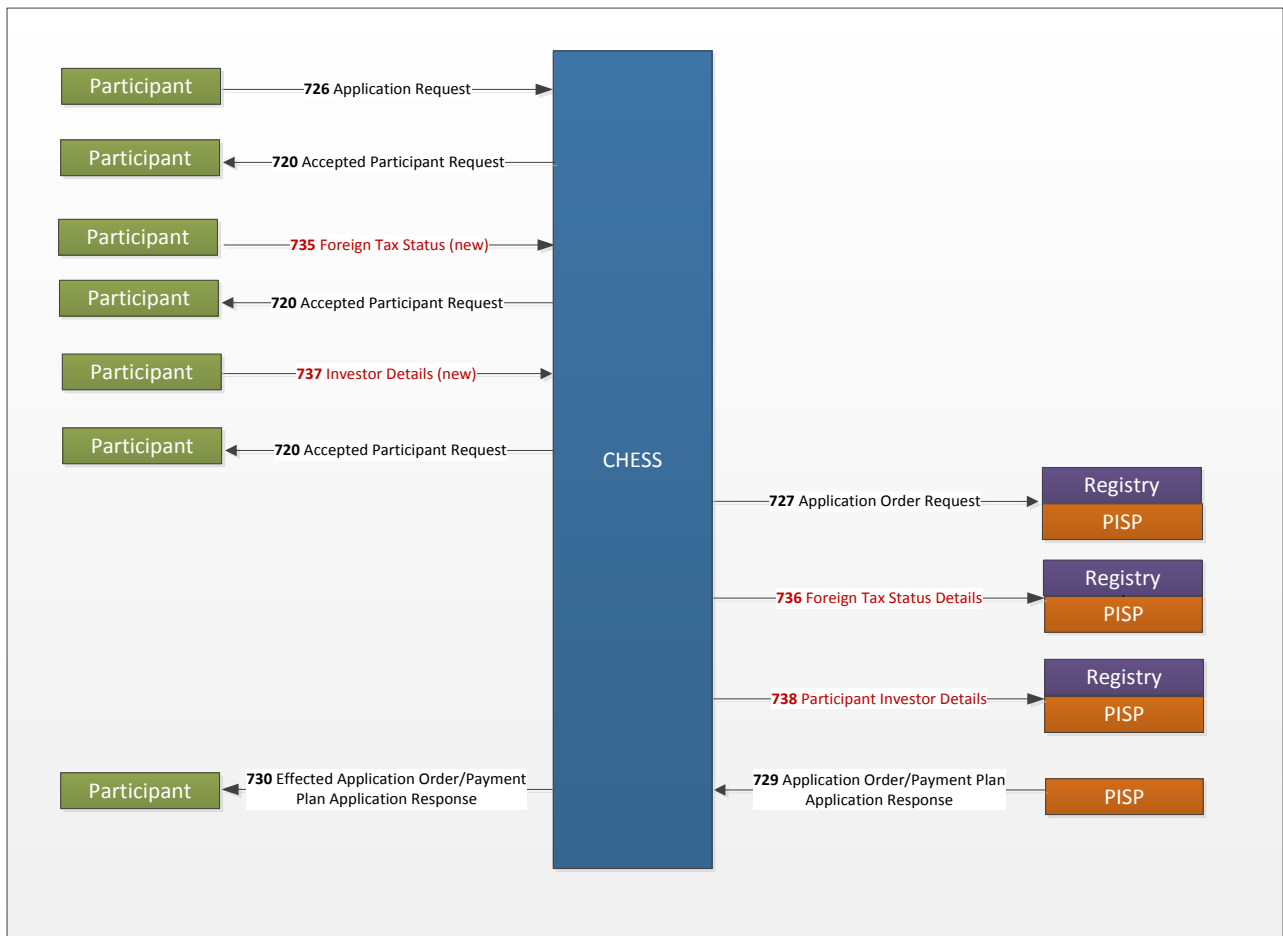
Impacted Parties	Mandatory for mFund ASX Participants, Registries, PISPs, CHES ISVs.
Impacted Products	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
Description	The existing CHES mFund messages that convey adjustments to unit (holding) quantity will be modified to include a Unit Price value as optional. This is primarily to allow the PISP, in the case of adjustments for DRP, to notify the participant of the Unit Price.
Likely Impact	<p>Considerations</p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> Only participant sponsored HINs will be catered for. <p>PISP:</p> <ul style="list-style-type: none"> Ensure that this value is populated where available <p>ASX Rules</p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate changes as required.</p> <p>ASX Documentation</p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p>CHES PC</p> <p>CHES PC will be upgraded for modified CHES messages.</p> <p>New Messages</p> <p>None</p> <p>Modified Messages</p> <p>MT732 Unit Adjustment MT733 Effected Fund Unit Adjustment</p>
	<p>Refer 3.8.8 Unit Adjustment</p> <p>Refer 3.9 CHES Messages</p> <p>Refer 3.10 CHES Field Definitions</p>

3.8 CHES

3.8.1 Application Request Impact

The new message suites are to support application requests and amendments passed through to the PISP. The registry will also receive these new messages.

The diagram below shows the relationship between the new message suites for an 'Initial' application request. For subsequent application requests and for amendments to existing details each message suite may be utilised independently. Note that this diagram does NOT show the full application workflow.



Where an investor submits an mFund application request for a particular mFund product for the first time or where an existing holding has zero units, this constitutes an 'Initial' application. For an 'Initial' application the following messages must be provided by the Participant to ensure that the 'Initial' application has the appropriate supporting data to be accepted by the PISP:

- MT726 Application Request
- MT735 Foreign Tax Status
- MT737 Investor Details

CHES will only forward an 'Initial' application request through to the PISP where all 3 messages have been provided and passed CHES validation. Where all 3 messages are not received by CHES within 5 Business Days, CHES will cancel the application request and inform the requesting Participant via a new MT740 Cancelled Fund Request (refer 3.8.2 Incomplete Request Cancellation).

'Subsequent' application requests may be forwarded as standalone requests and do not need to be supported by accompanying foreign tax or investor details.

'Initial' versus 'Subsequent' is based on the field: Initial Application, provided on the MT726 Application Request.

Additionally to aid identification of 'Initial' application requests, the Transaction Id of the MT726 Application Request must be included in both the MT737 Investor Details and MT735 Foreign Tax Status messages as the Linking Transaction Id. This will ensure that MT737 Investor Details and MT735 Foreign Tax Status data is aligned to an 'Initial' Application request.

The introduction of additional Rejected Order Reasons within the application message suite will allow the PISP to reject applications via the MT729 Application Order/Payment Plan Application Response not only for the MT727 Application Order Request itself, but also for an 'Initial' application request where the supporting MT738 Participant Investor Details and MT736 Foreign Tax Status Details messages are not valid.

3.8.1.1 Application Matrix: Initial/Subsequent

Where an application is submitted by an investor for a particular mFund product for the first time or where a holding is moving from zero units, this constitutes an 'Initial' application. Subsequent requests for units in the same fund do not require the same level of detail.

As static details existing in the current version of the MT726 Application Request have been moved from this message to the associated MT737 Investor Details message, the differences between an MT726 Application Request for 'Initial' or 'Subsequent' have been largely removed. The differences are highlighted in the table below (M signifies mandatory).

726 Application Request		
Field Name	Initial Application Value of 'Initial Application' = 'Y'	Subsequent Application Value of 'Initial Application' = 'N'
Fund Code	M	M
Fund Amount	M	M
HIN	M	M
Transaction Id	M	M
AML/CTF Flag	M	M
Current PDS Provided	M	M
PDS Issue Date	M	M
Initial Application	M must be 'Y'	M must be 'N'
Note	Must be accompanied by: <ul style="list-style-type: none"> • MT735 Foreign Tax Status • MT737 Investor Details 	

3.8.2 Incomplete Request Cancellation

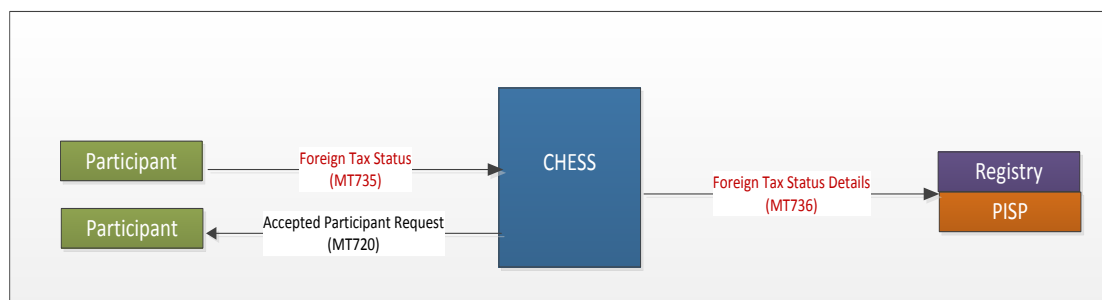
CHES will only forward an 'Initial' application or transfer request through to the PISP where all 3 messages have been provided and have passed CHES validation. For instances where all 3 messages are not provided, CHES will hold the received messages for 5 Business Days before cancelling the request. The requesting Participant will be notified upon cancellation via a new CHES message. The Origin Transaction Id will be the Linking Transaction Id.

Message No	Description	Sender	Recipient	New/Modified
740	Cancelled Fund Request	CHES	Participant	N

3.8.3 Fund Settlement Cut-Off

Due to the impact of changes to the application process for 'Initial' application requests, the *Fund Settlement Cut-Off* time will be changed to 11:00am (EST) from the current 11:15 (EST). This will extend the window for PISPs to respond to an 'Initial' application request.

3.8.4 Foreign Tax Status Enhancements



The proposed new mFund specific CHES message suite for the capture of foreign tax status details may be used in the following scenarios:

- Where an investor submits an mFund application request for a particular mFund product for the first time or where a CHES holding is moving from zero units (both constitute an ‘Initial’ application). Refer 3.8.1 *Application Request Impact*.
- Where an investor’s foreign tax status has changed. New foreign tax status details will override what has previously been transmitted.
- Where the backfill of existing investors is required to be provided.
- Where a CHES to CHES HIN transfer is requested.

3.8.4.1 Solution

An interim solution was introduced for mFund investors to specifically cover FATCA identification. This took the form of a single data field named ‘FATCA Questions’. This field will be removed from all mFund messages and replaced with the new MT735 Foreign Tax Status message suite.

The following new and modified CHES messages will be introduced:

Message No	Description	Sender	Recipient	New/Modified
718	Issuer Sponsored Fund to CHES Conversion Request	Participant	CHES	M
719	Issuer Sponsored Fund to CHES Conversion Authorisation Request	CHES	Registry	M
720 ¹	Accepted Participant Request	CHES	Participant	M
726	Application Request	Participant	CHES	M
727	Application Order Request	CHES	PISP	M
735	Foreign Tax Status	Participant	CHES	N
736	Foreign Tax Status Details	CHES	PISP / Registry	N
800	Redemption Request	Participant	CHES	M
801	Redemption Order Request	CHES	PISP	M
806	Switch Request	Participant	CHES	M
807	Switch Order Request	CHES	PISP	M

‘FATCA Questions’ field will be removed from the following mFund messages:

- MT718 Issuer Sponsored Fund to CHES Conversion Request
- MT719 Issuer Sponsored Fund to CHES Conversion Authorisation Request

¹ Prerequisite list expanded to include new message suites

- MT726 Application Request
- MT727 Application Order Request
- MT800 Redemption Request
- MT801 Redemption Order Request
- MT806 Switch Request
- MT807 Switch Order Request

'Tax Residence' (1-3) fields will be removed from the following messages as their use has been made redundant with the proposed introduction of the Foreign Tax Status message suite:

- MT726 Application Request
- MT727 Application Order Request

'AML/CTF Check Flag' field will be removed from the following messages as the provision of this value via the Application function is sufficient to meet industry expectations:

- MT718 Issuer Sponsored Fund to CHESS Conversion Request
- MT719 Issuer Sponsored Fund to CHESS Conversion Authorisation Request
- MT800 Redemption Request
- MT801 Redemption Order Request
- MT806 Switch Request
- MT807 Switch Order Request

3.8.4.2 Population/Validation

Refer 3.11 Foreign Tax Determination Matrix to view required values per Account Type that need to be populated by the Participant.

The following CHESS validations will be included:

1. The Linking Transaction Id value must be populated with either:
 - a. For 'Initial' applications; the Linking Transaction ID must equal the Transaction Id of the MT726 Application Request.
 - b. For standalone updates to the Foreign Tax Status; the Linking Transaction ID must equal the Transaction Id of the MT735 Foreign Tax Status.
 - c. For transfers, the Linking Transaction ID must equal the Transaction Id of the MT851 CHESS To CHESS Fund Transfer Request.
2. Where Account Type 'S' is identified, the provision of an ABN or the value 'N/A' for the Superannuation Fund will be required. No further details are required as 'S' is not reportable from a Foreign Tax perspective.
3. For all other Account Types, regardless of foreign tax residency considerations, an address or addresses in the case or Account Type 'J', or 'N/A' are required:
 - a. Address Details do not need to match those provided as Registration Details when the HIN was originally setup. The Address Details are intended as a means of confirming the Foreign Residency status and will not be stored or used by CHESS for mailing or contact purposes. Note that Address Details are bounded by Address Type:
 - i. Address Type 'R' (Residential) applies to Account Types 'I' and 'J'. Where Account Type 'J' is identified, the expectation is that the provision of Address Details apply to each party in the account and match the order in which the joint individuals appear in the HIN Registration Details. For example the first named individual in the HIN Registration Details must have be aligned Address Details 1 and so on. Up to 3 Address Details may be included. No details are to be included for parties beyond the 3rd named. CHESS will not validate this.
 - ii. Address Type 'G' (Registered) applies to Account Type 'C'.
 - iii. Address Type 'T' (Trust) applies to Account Type 'T'.

- b. Where Account Type 'C' or 'T', Entity Type must be provided.
- c. Where the 'Foreign Tax Residency' is declared as 'N' no further data is required.
- d. Where the 'Foreign Tax Residency' is declared as 'Y':
 - i. Where Account Type 'I' or 'J', for each instance of foreign residency identified the following must be provided:
 1. Foreign Person (Y(es))
 2. Foreign Person Date of Birth
 3. Foreign Country Code² (3 character ISO Country Code)
 4. Foreign TIN (foreign tax identifier) or TIN Absent (reason why no Foreign TIN provided)
Note where Account Type 'J' is identified and any party to the account is identified as having foreign residency, the expectation is that the provision of foreign tax status match the order in which the joint parties appear in the HIN's Registration Details. If for example the first named party is not foreign, but the second is; Foreign Person 1 should show no data and Foreign Person 2 'Y' with supporting data populated. CHES will not validate the order.
 - ii. Where more than 3 parties are foreign or where a 4th or greater party is foreign, 'Y' must be entered in the 'Additional Foreign Parties' field to alert the registry to follow up. No details for 4th or greater parties are required to be populated.

Note: Refer to 3.12, 3.13, 3.14 for additional Foreign Tax validation details and examples.

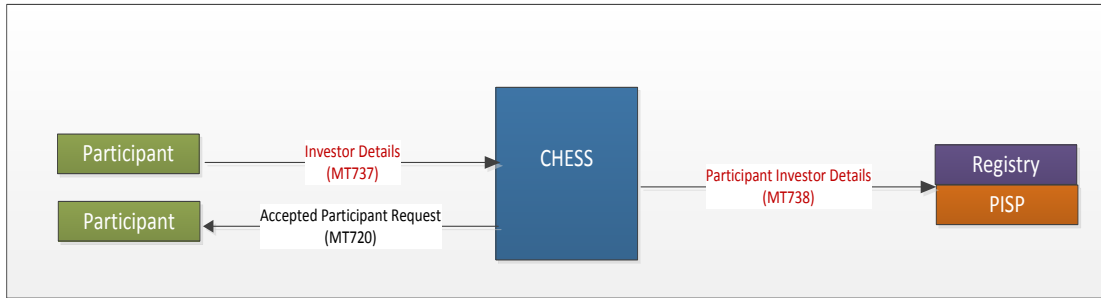
3.8.4.3 Approval/Rejection

CHESS will reject any request that does not meet the validations outlined in 3.8.4.2 *Population/Validation*.

Refer 3.8.1 *Application Request Impact* for approval/rejection scenarios for application requests.

² ISO Country Code AUS (Australia) may not be used

3.8.5 Investor Details Enhancements



The new mFund specific CHES message suite for the capture of investor details may be used in the following scenarios:

- Where an investor submits an mFund application request for a particular mFund product for the first time or where a CHES holding is moving from 0 units (an ‘Initial’ application). Refer 3.8.1 *Application Request Impact*.
- Where an investor’s details have changed. New investor details will override what has previously been transmitted.
- Where the backfill of details for existing investors is required to be provided.
- Where a CHES to CHES HIN transfer is requested.

3.8.5.1 Solution

For both application requests and standalone updates to investor details, CHES will validate that an accepted MT726 Application Request has previously been received, if not, the MT737 Investor Details will be rejected. CHES validation is based on transaction IDs within the message.

The following new and modified CHES messages will be introduced:

Message No	Description	Sender	Recipient	New/Modified
720 ³	Accepted Participant Request	CHES	Participant	M
726	Application Request	Participant	CHES	M
727	Application Order Request	CHES	PISP	M
737	Investor Details	Participant	CHES	N
738	Participant Investor Details	CHES	PISP / Registry	N
800	Redemption Request	Participant	CHES	M
801	Redemption Order Request	CHES	PISP	M
806	Switch Request	Participant	CHES	M
807	Switch Order Request	CHES	PISP	M

A significant number of fields have been removed from the existing mFund messages listed below and relocated to the new investor details message suite:

- MT726 Application Request
- MT727 Application Order Request
- MT800 Redemption Request
- MT801 Redemption Order Request
- MT806 Switch Request

³ Prerequisite list expanded to include new message suites

- MT807 Switch Order Request

3.8.5.2 Population/Validation

CHESS validation criteria within the new message suite will match what is currently offered for those fields removed from the existing Application message suite. The following additional CHESS validations are included:

1. The Linking Transaction Id value must already exist in CHESS and be populated with either:
 - a. For 'Initial' applications; the Linking Transaction ID must equal the Transaction Id of the MT726 Application Request.
 - b. For standalone updates to the Investor Details; the Linking Transaction ID must equal the Transaction Id of the MT737 Investor Details.
 - c. For transfers, the Linking Transaction ID must equal the Transaction Id of the MT851 CHESS To CHESS Fund Transfer Request.
2. Where Investor Email Address is populated, Investor Email purpose must also be populated unless the Investor Email Address is populated with 'N/A'.

3.8.5.3 Approval/Rejection

CHESS will reject any request that does not meet the validations outlined in *3.8.5.2 Population/Validation*.

Refer *3.8.1 Application Request Impact* for approval/rejection scenarios for application requests.

3.8.6 Annual Income Statements

The modified mFund specific CHES messages impacted by the Annual Income Statement changes apply in the following scenarios:

- Where a Participant requests an investor's annual tax details, the registry must ensure that the new value *NA Tax Free Amounts Cash* is populated if applicable and returned to the Participant.
- The correction of the 2 incorrectly named fields has no material impact on CHES messaging. The change to correct these descriptions is cosmetic and is to assist understanding of the field content.

3.8.6.1 Solution

The following CHES messages will be impacted:

Message No	Description	Sender	Recipient	New/Modified
957	Registry Income Statement Part A	PISP / Registry	CHES	M (text only)
962	Participant Income Statement Part A	CHES	Participant	M (text only)
967	Registry Income Statement Part C NA	PISP / Registry	CHES	M
972	Participant Income Statement Part C NA	CHES	Participant	M

3.8.7 SRN Removal

Existing CHES mFund functions that include specific issuer sponsored SRN (SecurityHolder Reference Number) functionality will see this functionality discontinued. mFund will provide for participant sponsored HIN functionality only.

Note that the SRN values included in mFund conversion functionality (MT715, MT718) will be retained as these serve the purpose of providing detail regarding the source or destination holding.

Note that the Participant initiated SRN mFund balance enquiry functionality (MT837) will be retained.

3.8.7.1 Solution

The following CHES messages will be impacted:

Message No	Description	Sender	Recipient	New/Modified
726	Application Request	Participant	CHES	M
727	Application Order Request	CHES	PISP	M
729	Application Order/Payment Plan Application Response	PISP	CHES	M
730	Effected Application Order/Payment Plan Application Response	CHES	Participant	M
800	Redemption Request	Participant	CHES	M
801	Redemption Order Request	CHES	PISP	M
802	Redemption Order Response	PISP	CHES	M
803	Effected Redemption Order Request	CHES	Participant	M
806	Switch Request	Participant	CHES	M
807	Switch Order Request	CHES	PISP	M
808	Switch Order Response	PISP	CHES	M
809	Effected Switch Order Request	CHES	Participant	M
845	Unit Reversal Notification	PISP	CHES	M
846	Effected Unit Reversal Notification	CHES	Participant	M

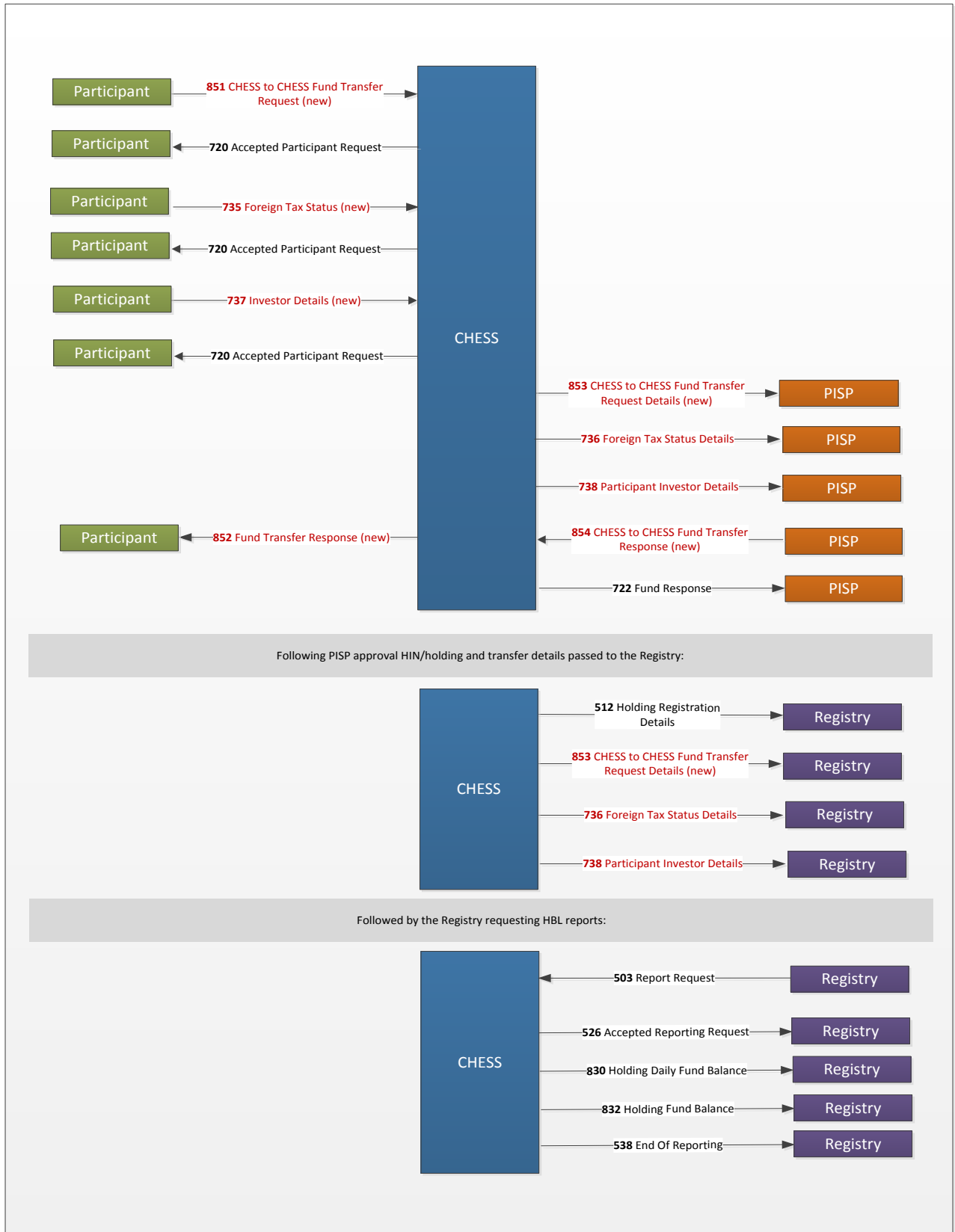
SecurityHolder Reference Number and *Registration Details* fields will be removed from the following mFund messages where they appear:

- MT726 Application Request
- MT727 Application Order Request⁴
- MT729 Application Order/Payment Plan Application Response
- MT730 Effected Application Order/Payment Plan Application Response
- MT800 Redemption Request
- MT801 Redemption Order Request
- MT802 Redemption Order Response
- MT803 Effected Redemption Order Request
- MT806 Switch Request

⁴ **Note** that the *Registration Details* field on the MT727 Application Order Request will remain and be re-purposed to carry the HIN Registration Details.

- MT807 Switch Order Request
- MT808 Switch Order Response
- MT809 Effected Switch Order Request
- MT845 Unit Reversal Notification
- MT846 Effected Unit Reversal Notification

3.8.8 Fund Transfer (Subject to regulatory clearance)



Subject to regulatory clearance

Allows a Participant to request the transfer of mFund units between HINs under its control. This function will allow full or partial (Number of Units) to be transferred.

The transfer request will be forwarded by CHESS to the PISP for approval, along with the requisite foreign tax status and investor details. For a transfer the following messages must be provided by the Participant to ensure that the transfer has the appropriate supporting data to be accepted by the PISP:

- MT851 CHESS to CHESS Fund Transfer Request
- MT735 Foreign Tax Status
- MT737 Investor Details

CHESS will only forward a transfer request through to the PISP where all 3 messages have been provided and passed CHESS validation. In instances where all 3 messages are not provided, CHESS will hold the received messages for 5 Business Days before cancelling. The requesting Participant will be notified upon cancellation via a new CHESS message (refer 3.8.2 *Incomplete Request Cancellation*).

Additionally to aid identification of transfer requests, the Transaction Id of the MT851 CHESS to CHESS Fund Transfer Request will be included in both the MT737 Investor Details and MT735 Foreign Tax Status messages as the Linking Transaction Id.

The introduction of Rejected Transfer Reasons within the transfer message suite will allow the PISP to reject transfers via the MT854 CHESS to CHESS Transfer Response not only for the MT851 CHESS to CHESS Fund Transfer Request itself, but also where the supporting MT738 Participant Investor Details and MT736 Foreign Tax Status Details messages have not been received.

Upon PISP approval, CHESS will action the transfer and provide notification to the requesting Participant of the new balances for both the delivering HIN and the receiving HIN. CHESS will then forward a MT512 Holding Registration Details notification informing the registry of a new holding for the receiving HIN; followed by the transfer request and supporting Foreign Tax Status and Investor Details. This will ensure that when the registry processes the transfer request, the receiving HIN will have all the required data and controls for that holding.

CHESS reporting will confirm the delivering and receiving HINs impacted by the transfer, and provide the new holding balances. Note that both Participants and Registries can establish a standing request for the HBL (Holding Balance Report) report (or any other desired reports) via the MT503 Report Request. Please refer to the APG (ASX Settlement Procedure Guidelines) for details.

The following new and modified CHESS messages will be introduced:

Message No	Description	Sender	Recipient	New/Modified
720 ⁵	Accepted Participant Request	CHESS	Participant	M
722 ⁶	Fund Response	CHESS	PISP / Registry	M
735	Foreign Tax Status	Participant	CHESS	N
736	Foreign Tax Status Details	CHESS	PISP / Registry	N
737	Investor Details	Participant	CHESS	N
738	Participant Investor Details	CHESS	PISP / Registry	N
740	Cancelled Fund Request	CHESS	Participant	N
851	CHESS to CHESS Fund Transfer Request	Participant	CHESS	N
852	Fund Transfer Response	CHESS	Participant	N
853	CHESS to CHESS Fund Transfer Request Details	CHESS	PISP / Registry	N
854	CHESS to CHESS Fund Transfer Response	PISP	CHESS	N

⁵ Prerequisite list expanded to include new message suites

⁶ Prerequisite list expanded to include new message suites

3.8.8.1 Population/Validation

The following CHES validations are included:

1. The requesting Participant must control both HINs and be mFund accredited (UIC mask).
2. The Linking Transaction Id value for the supporting MT735 and MT737 must equal the Transaction Id of the MT851.
3. The Delivering HIN must have > 0 unit balance or sufficient units to meet the Number of Units stipulated.
4. Where Full Transfer is 'N', Number of Units must be included.

3.8.8.2 Approval/Rejection

CHESS will reject any request that does not meet the validations outlined in *3.8.8.1 Population/Validation*.

3.8.9 Unit Adjustment

The existing CHES mFund messages that convey adjustments to unit (holding) quantity will be modified to include a Unit Price value as optional. This is primarily to allow the PISP, in the case of adjustments for RPP and DRP, to notify the participant of the Unit Price.

3.8.9.1 Solution

The following CHES messages will be impacted:

Message No	Description	Sender	Recipient	New/Modified
732	Unit Adjustment	PISP	CHES	M
733	Effected Fund Unit Adjustment	CHES	Participant	M

3.9 CHESS Messages

This section outlines new CHESS messages and changes to existing CHESS messages.

3.9.1 Issuer Sponsored Fund to CHESS Conversion Request [718-02]

To enable Fund Units in an Issuer Sponsored holding to be converted to the CHESS sub-register. The conversion request requires authorisation by the Registry.

The Participant is advised if the conversion request has been passed to the Registry or rejected by CHESS. The conversion request details are forwarded to the Registry. The conversion request is held in CHESS and not actioned until a response is received from the Registry.

Sender: Participant

Recipient: CHESS

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
16	Receiving HIN	10 Numeric	M
25	Movement Reason	1 Character	M
34	Participant Reference	16 Character	O
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
51	SecurityHolder Reference Number	12 Character	M
65	Bit Map 3 Marker	On	M
70	Underlying Reference	16 Character	O
129	Bit Map 4 Marker	Off	M
232	Number of Units	18 Numeric; 6 decimal	M
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: None

3.9.2 Issuer Sponsored Fund to CHESS Conversion Authorisation Request [719-02]

To request a Registry to authorise an Issuer Sponsored Fund to CHESS Conversion Request received from a Participant.

Sender: CHESS

Recipient: Registry

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
16	Receiving HIN	10 Numeric	M
19	Receiving PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
25	Movement Reason	1 Character	M
36	Broker non Broker Indicator	1 Character	M
48	Transaction Id	16 Character	M
51	SecurityHolder Reference Number	12 Character	M
59	Receiving Registration Details	180 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	Off	M
232	Number of Units	18 Numeric; 6 decimal	M
245	APIR Code	9 Numeric	O

Transmission Cut off times: None

Prerequisites: Receipt of a 718 Issuer Sponsored Fund to CHESS Conversion Request

3.9.3 Accepted Participant Request [720-01]

To notify the Participant that their request for one of the following transactions has been accepted:

- Lodgement of an application to purchase Fund units, or
- Redemption of Fund units; or
- Switch of Fund units; or
- Cancellation of redemption or switch order that was previously placed 'On-Hold' by the Product Issuer Settlement Participant; or
- Issuer Sponsored Fund to CHES Conversion Request; or
- Issuer Sponsored Fund holding balance request; or
- Foreign Tax Status details; or
- Investor details; or
- Fund Transfer

Sender: CHES

Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	Off	M
21	Processing Timestamp	22 Character	M
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M

Transmission Cut off times: None

Prerequisites:

Receipt of one of the following:

- 718 Issuer Sponsored Fund to CHES Conversion Request
- 726 Application Request
- 735 Foreign Tax Status
- 737 Investor Details
- 800 Redemption Request
- 804 Funds Order Cancellation Request
- 806 Switch Request
- 837 Participant to CHES Fund Balance Request
- 851 CHES to CHES Fund Transfer Request

3.9.4 Fund Response [722-01]

An acknowledgment that a response from a Product Issuer Settlement Participant has been received by CHES.

Sender: CHES

Recipient: Product issuer Settlement Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	Off	M
21	Processing Timestamp	22 Character	M
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M

Transmission Cut off times: None

Prerequisites:

Receipt of one of the following:

- 721 Fund to CHES Conversion Authorisation
- 724 Fund to CHES Conversion Rejection
- 729 Application Order / Payment Plan Application Response
- 732 Unit Adjustment
- 802 Redemption Order Response
- 808 Switch Order Response
- 810 Order Update
- 813 Distribution Statement
- 817 Distribution Reinvestment Notification
- 839 Registry to CHES Fund Balance Response
- 841 Registry to CHES Fund Balance Rejection
- 845 Unit Reversal Notification
- 854 CHES to CHES Fund Transfer Response

3.9.5 Application Request [726-02]

To allow a Participant to request the lodgement of an application to purchase a dollar amount of units in an ASX admitted Fund.

Note: Where an investor submits an mFund application request for a particular mFund product for the first time or where a CHESS mFund holding is moving from 0 units (an 'Initial' application), the following messages must be provided to ensure that the application has the appropriate supporting data to be accepted by the PISP:

- MT726 Application Request
- MT735 Foreign Tax Status
- MT737 Investor Details

Sender: Participant

Recipient: CHESS

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	M
11	Initial Application	1 Character	M
16	HIN	10 Numeric	M
34	Participant Reference	16 Character	O
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
193	Bit Map 5 Marker	Off	M
209	AML / CTF Flag	1 Character	M
231	Current PDS Provided	1 Character	M
234	Product Name	50 Character	O
236	PDS Issue Date	8 Numeric	M
245	APIR Code	9 Character	O

Transmission Cut off times: Fund Request Cut-off Time - If the request is to be processed in the next settlement process

Prerequisites: None

3.9.6 Application Order Request [727-02]

To notify a Product Issuer Settlement Participant of a request for lodgement of an application order to purchase a dollar amount of Fund units in a Fund under their control.

Sender: CHES

Recipient: Product Issuer Settlement Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	M
11	Initial Application	1 Character	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
59	Registration Details	180 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
193	Bit Map 5 Marker	Off	M
209	AML / CTF Flag	1 Character	M
231	Current PDS Provided	1 Character	M
234	Product Name	50 Character	O
236	PDS Issue Date	8 Numeric	M
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of a 726 Application Request

3.9.7 Application Order/Payment Plan Application Response [729-02]

To allow a Product Issuer Settlement Participant:

- To respond to an application request; or
- To pass a holder’s Payment Plan application details through to the Controlling Participant.

Sender: Product Issuer Settlement Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
22	Transaction Status	1 Character	M
48	Transaction Id	16 Character	M
61	Rejected Order Reason	5 Numeric	O
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
155	Unit Price	11 Numeric, 6 decimal	O
157	Order Reference	16 Character	O
193	Bit Map 5 Marker	Off	M
222	Order Type	3 Character	M
232	Number of Units	18 Numeric, 6 decimal	O
236	Unit Pricing Date	8 Numeric	O
237	Fees	15 Numeric, 2 decimal	O
239	Unit Allotment Date	8 Numeric	O
245	APIR Code	9 Character	O

Transmission Cut off times: Settlement Cut-off Time, if the message is to be processed prior to the next settlement process

Prerequisites: Receipt of a 727 Application Order Request sent to the Product Issuer Settlement Participant

Note: for a Payment Plan there is no pre-requisite as the message is initiated by the Product Issuer Settlement Participant

3.9.8 Effected Application Order/Payment Plan Application Response [730-02]

To notify a Participant of the following:

- Application Order Request has been accepted or rejected by the Product Issuer Settlement Participant;
 - If Accepted, the Product Issuer Settlement Participant must initially provide “Unit Pricing Date” and “Unit Allotment Date” details
 - If Rejected, a valid Rejected Reason is to be provided by the Product Issuer Settlement Participant;
- Or
- Additional details for a previously accepted Application Order Request (e.g. Unit Price, Number of Units and Fees);

Note: Subsequent 729 Application Order / Payment Plan Application Response messages can be sent by the Product Issuer Settlement Participant to provide additional detail data to complete the transaction.
- Or
- Payment Plan details submitted to CHES by the Product Issuer Settlement Participant

Sender: CHES

Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	M
16	HIN	10 Numeric	M
21	Processing Timestamp	22 Character	M
22	Transaction Status	1 Character	M
48	Transaction Id	16 Character	M
61	Rejected Order Reason	5 Numeric	O
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
155	Unit Price	11 Numeric, 6 decimal	O
157	Order Reference	16 Character	O
193	Bit Map 5 Marker	Off	M
222	Order Type	3 Character	M
232	Number of Units	18 Numeric, 6 decimal	O
236	Unit Pricing Date	8 Numeric	O
237	Fees	15 Numeric, 2 decimal	O
239	Unit Allotment Date	8 Numeric	O
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of a 729 Application Order / Payment Plan Application Response submitted by the Product Issuer Settlement Participant

Note: for a Payment Plan there is no pre-requisite as the message is initiated by the Product Issuer Settlement Participant

3.9.9 Unit Adjustment [732-02]

To notify CHES of a unit adjustment to a CHES holding. A Fund Reason must be included to provide the context for the adjustment. A Unit Price may be included as required – particularly in the case of DRP.

Unit adjustment is associated with the following message suites:

- Application Order
- Distribution Re-Investment Plan (DRP) Notification
- Miscellaneous Adjustment
- Redemption Order
- Switch Order
- Unit Reversal Notification (Reversal / Reapply)

Sender: Product Issuer Settlement Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
33	Fund Reason	3 Character	M
43	Increase or Decrease	1 Character	M
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
155	Unit Price	11 Numeric, 6 decimal	O
157	Registry Reference	16 Character	O
193	Bit Map 5 Marker	Off	M
232	Adjustment Units	18 Numeric, 6 decimal	M
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: None

3.9.10 Effected Fund Unit Adjustment [733-02]

To notify a Participant that a unit adjustment has been made to a CHES holding under its control.

Unit adjustment is associated with the following message suites:

- Application Order
- Distribution Re-Investment Plan (DRP) Notification
- Miscellaneous Adjustment
- Redemption Order
- Switch Order
- Unit Reversal Notification (Reversal / Reapply)

Sender: CHES

Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
16	HIN	10 Numeric	M
33	Fund Reason	3 Character	M
43	Increase or Decrease	1 Character	M
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
88	Effected Timestamp	22 Character	M
129	Bit Map 4 Marker	On	M
155	Unit Price	11 Numeric, 6 decimal	O
157	Registry Reference	16 Character	O
193	Bit Map 5 Marker	Off	M
232	Adjustment Units	18 Numeric, 6 decimal	M
233	New Fund Holding Balance	18 Numeric, 6 decimal	M
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of a 732 Unit Adjustment submitted by a Product Issuer Settlement Participant

3.9.11 Foreign Tax Status [735-01]

To convey the foreign tax status of a HIN to a PISP/Registry to allow the fund issuer meet FATCA and CRS regulatory obligations.

This message may be used in the following scenarios:

- Where an investor submits an mFund application request for a particular mFund product for the first time or where a CHES holding is moving from zero units (both constitute an 'Initial' application).
- Where an investor's foreign tax status has changed. New foreign tax status details will override what has previously been transmitted.
- Where the backfill of existing investors is required to be provided.
- Where a CHES to CHES HIN transfer is requested.

There are a number of considerations that should be taken into account when providing Foreign Tax Status data:

- The Linking Transaction Id value must be populated with either:
 - For 'Initial' applications; the Linking Transaction ID must equal the Transaction Id of the MT726 Application Request.
 - For standalone updates to the Foreign Tax Status; the Linking Transaction ID must equal the Transaction Id of the MT735 Foreign Tax Status.
 - For transfers, the Linking Transaction ID must equal the Transaction Id of the MT851 CHES To CHES Fund Transfer Request.
- Where Account Type 'S' is identified, the provision of an ABN or the value 'N/A' for the Superannuation Fund will be required. No further details are required as 'S' is not reportable from a Foreign Tax perspective.
- For all other Account Types, regardless of foreign tax residency considerations, an address, addresses in the case of Account Type 'J', or 'N/A' are required:
 - Address Details do not need to match those provided as Registration Details when the HIN was originally setup. The Address Details are intended as a means of confirming the Foreign Residency status and will not be stored or used by CHES for mailing or contact purposes. Note that Address Details are bounded by Address Type:
 - Address Type 'R' (Residential) applies to Account Types 'I' and 'J'. Where Account Type 'J' is identified, the expectation is that the provision of Address Details apply to each party in the account and match the order in which the joint individuals appear in the HIN Registration Details. For example the first named individual in the HIN Registration Details must have be aligned Address Details 1 and so on. Up to 3 Address Details may be included. No details are to be included for parties beyond the 3rd named. CHES will not validate this.
 - Address Type 'G' (Registered) applies to Account Type 'C'.
 - Address Type 'T' (Trust) applies to Account Type 'T'.
 - Where Account Type 'C' or 'T', Entity Type must be provided.
 - Where the 'Foreign Tax Residency' is declared as 'N' no further data is required.
 - Where the 'Foreign Tax Residency' is declared as 'Y':
 - Where Account Type 'I' or 'J', for each instance of foreign residency identified the following must be provided:
 - Foreign Person (Y(es))
 - Foreign Person Date of Birth
 - Foreign Country Code⁷ (3 character ISO Country Code)
 - Foreign TIN (foreign tax identifier) or TIN Absent (reason why no Foreign TIN provided)

⁷ ISO Country Code AUS (Australia) may not be used

Note where Account Type ‘J’ is identified and any party to the account is identified as having foreign residency, the expectation is that the provision of foreign tax status match the order in which the joint parties appear in the HIN’s Registration Details. If for example the first named party is not foreign, but the second is; Foreign Person 1 data is not required and Foreign Person 2 ‘Y’ with supporting data populated. CHES will not validate the order.

- Where more than 3 parties are foreign or where a 4th or greater party is foreign, ‘Y’ must be entered in the ‘Additional Foreign Parties’ field to alert the registry to follow up. No details for 4th or greater parties are required to be populated.

Sender: Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
11	Foreign Residency Indicator	1 Character	O
16	HIN	10 Numeric	M
22	Address Type	1 Character	O
48	Transaction Id	16 Character	M
49	Linking Transaction Id	16 Character	M
59	Address Details 1	180 Character	O
65	Bit Map 3 Marker	On	M
100	Superannuation Fund ABN	12 Character	O
129	Bit Map 4 Marker	On	M
193	Bit Map 5 Marker	On	M
226	Address Details 2	180 Character	O
227	Address Details 3	180 Character	O
245	APIR Code	9 Character	O
265	Account Type	1 Character	M
266	Entity Type	1 Character	O
276	Foreign Person 1	1 Character	O
277	Foreign Person Date of Birth 1	8 Numeric	O
278	Foreign Country Code 1A	3 Character	O
279	Foreign Country Code 1B	3 Character	O
280	Foreign Country Code 1C	3 Character	O
281	Foreign TIN 1A	30 Character	O
282	Foreign TIN 1B	30 Character	O
283	Foreign TIN 1C	30 Character	O
284	TIN Absent 1A	1 Character	O
285	TIN Absent 1B	1 Character	O
286	TIN Absent 1C	1 Character	O
287	Foreign Person 2	1 Character	O
288	Foreign Person Date of Birth 2	8 Numeric	O

289	Foreign Country Code 2A	3 Character	O
290	Foreign Country Code 2B	3 Character	O
291	Foreign Country Code 2C	3 Character	O
292	Foreign TIN 2A	30 Character	O
293	Foreign TIN 2B	30 Character	O
294	Foreign TIN 2C	30 Character	O
295	TIN Absent 2A	1 Character	O
296	TIN Absent 2B	1 Character	O
297	TIN Absent 2C	1 Character	O
298	Foreign Person 3	1 Character	O
299	Foreign Person Date of Birth 3	8 Numeric	O
300	Foreign Country Code 3A	3 Character	O
301	Foreign Country Code 3B	3 Character	O
302	Foreign Country Code 3C	3 Character	O
303	Foreign TIN 3A	30 Character	O
304	Foreign TIN 3B	30 Character	O
305	Foreign TIN 3C	30 Character	O
306	TIN Absent 3A	1 Character	O
307	TIN Absent 3B	1 Character	O
308	TIN Absent 3C	1 Character	O
309	Additional Foreign Parties	1 Character	O

Transmission Cut off times: None

Prerequisites:

If conveyed for an initial mFund investor application, must be transmitted in concert with 726 Application Request and 737 Investor Details.

If conveyed for an mFund transfer, must be transmitted in concert with 851 CHES to CHES Fund Transfer Request and 737 Investor Details.

If conveyed as a standalone maintenance request, no prerequisite is required.

3.9.12 Foreign Tax Status Details [736-01]

To notify a Product Issuer Settlement Participant and registry of an mFund investors foreign tax status as ascertained by a Participant.

Sender: CHES

Recipient: Product Issuer Settlement Participant, Registry

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
11	Foreign Residency Indicator	1 Character	O
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
22	Address Type	1 Character	O
48	Transaction Id	16 Character	M
49	Linking Transaction Id	16 Character	M
59	Address Details 1	180 Character	O
62	Origin Transaction ID	16 Character	M
65	Bit Map 3 Marker	On	M
100	Superannuation Fund ABN	12 Character	O
129	Bit Map 4 Marker	On	M
193	Bit Map 5 Marker	On	M
226	Address Details 2	180 Character	O
227	Address Details 3	180 Character	O
245	APIR Code	9 Character	O
265	Account Type	1 Character	M
266	Entity Type	1 Character	O
276	Foreign Person 1	1 Character	O
277	Foreign Person Date of Birth 1	8 Numeric	O
278	Foreign Country Code 1A	3 Character	O
279	Foreign Country Code 1B	3 Character	O
280	Foreign Country Code 1C	3 Character	O
281	Foreign TIN 1A	30 Character	O
282	Foreign TIN 1B	30 Character	O
283	Foreign TIN 1C	30 Character	O
284	TIN Absent 1A	1 Character	O
285	TIN Absent 1B	1 Character	O
286	TIN Absent 1C	1 Character	O
287	Foreign Person 2	1 Character	O
288	Foreign Person Date of Birth 2	8 Numeric	O
289	Foreign Country Code 2A	3 Character	O

290	Foreign Country Code 2B	3 Character	0
291	Foreign Country Code 2C	3 Character	0
292	Foreign TIN 2A	30 Character	0
293	Foreign TIN 2B	30 Character	0
294	Foreign TIN 2C	30 Character	0
295	TIN Absent 2A	1 Character	0
296	TIN Absent 2B	1 Character	0
297	TIN Absent 2C	1 Character	0
298	Foreign Person 3	1 Character	0
299	Foreign Person Date of Birth 3	8 Numeric	0
300	Foreign Country Code 3A	3 Character	0
301	Foreign Country Code 3B	3 Character	0
302	Foreign Country Code 3C	3 Character	0
303	Foreign TIN 3A	30 Character	0
304	Foreign TIN 3B	30 Character	0
305	Foreign TIN 3C	30 Character	0
306	TIN Absent 3A	1 Character	0
307	TIN Absent 3B	1 Character	0
308	TIN Absent 3C	1 Character	0
309	Additional Foreign Parties	1 Character	0

Transmission Cut off times: None

Prerequisites: Receipt of a 735 Foreign Tax Status submitted by a Participant.

3.9.13 Investor Details [737-01]

To convey the investor details of a HIN to a PISP/Registry.

This message may be used in the following scenarios:

- Where an investor submits an mFund application request for a particular mFund product for the first time or where a CHESS holding is moving from zero units (both constitute an 'Initial' application).
- Where investor details have changed. New Investor details will override what has previously been transmitted.
- Where the backfill of existing investors is required to be provided.
- Where a CHESS to CHESS HIN transfer is requested.

The Linking Transaction Id value must be populated with either:

- For 'Initial' applications; the Linking Transaction ID must equal the Transaction Id of the MT726 Application Request.
- For standalone updates to the Investor Details; the Linking Transaction ID must equal the Transaction Id of the MT737 Investor Details.
- For transfers, the Linking Transaction ID must equal the Transaction Id of the MT851 CHESS To CHESS Fund Transfer Request.

Note that for the mandatory Tax File Number/ABN, Investor Email Address, Investor Mobile Contact and a number of Dealer Group and Advisor fields, 'N/A' is allowable.

Sender: Participant

Recipient: CHESS

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
16	HIN	10 Numeric	M
18	DRP Preference	1 Character	M
34	Participant Reference	16 Character	O
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
49	Linking Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
92	Advisor Mobile	16 Character	M
94	Date of Birth 1	8 Numeric	O
95	Date of Birth 2	8 Numeric	O
98	Date of Birth 3	8 Numeric	O
100	Tax File Number / ABN 1	12 Character	M
101	Tax File Number / ABN 2	12 Character	M
102	Tax File Number / ABN 3	12 Character	M
129	Bit Map 4 Marker	On	M
157	Investor Mobile Contact	16 Character	M
193	Bit Map 5 Marker	Off	M
200	Investor Email Address	50 Character	M

201	BSB Number	7 Character	O
203	Account Number	9 Character	O
204	Account Name	32 Character	O
205	Account Purpose	1 Character	O
208	Investor Email Purpose	1 Character	O
217	Dealer Group AFSL Number	10 Character	M
243	Advisor Email	50 Character	M
245	APIR Code	9 Character	O
247	Dealer Group Name	30 Character	M
248	Advisor Name	30 Character	M
249	Advisor Code	30 Character	M

Transmission Cut off times: None

Prerequisites:

If conveyed for an initial mFund investor application, must be transmitted in concert with 726 Application Request and 735 Foreign Tax Status.

If conveyed for an mFund transfer, must be transmitted in concert with 851 CHES to CHES Fund Transfer Request and 735 Foreign Tax Status.

If conveyed as a standalone maintenance request, no prerequisite is required.

3.9.14 Participant Investor Details [738-01]

To notify a Product Issuer Settlement Participant and registry of new investor details to support an initial mFund Application request, or amend existing investor details.

Sender: CHES

Recipient: Product Issuer Settlement Participant, Registry

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
16	HIN	10 Numeric	M
18	DRP Preference	1 Character	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
34	Participant Reference	16 Character	O
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
49	Linking Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
92	Advisor Mobile	16 Character	M
94	Date of Birth 1	8 Numeric	O
95	Date of Birth 2	8 Numeric	O
98	Date of Birth 3	8 Numeric	O
100	Tax File Number / ABN 1	12 Character	M
101	Tax File Number / ABN 2	12 Character	M
102	Tax File Number / ABN 3	12 Character	M
129	Bit Map 4 Marker	On	M
157	Investor Mobile Contact	16 Character	M
193	Bit Map 5 Marker	Off	M
200	Investor Email Address	50 Character	M
201	BSB Number	7 Character	O
203	Account Number	9 Character	O
204	Account Name	32 Character	O
205	Account Purpose	1 Character	O
208	Investor Email Purpose	1 Character	O
217	Dealer Group AFSL Number	10 Character	O
243	Advisor Email	50 Character	M
245	APIR Code	9 Character	O
247	Dealer Group Name	30 Character	M
248	Advisor Name	30 Character	M
249	Advisor Code	30 Character	M

Transmission Cut off times: None

Prerequisites: Receipt of a 737 Investor Details from a Participant.

3.9.15 Cancelled Fund Request [740-01]

To notify the participant that a un-actioned fund application or transfer request older than five business days has been cancelled as a result of CHES housekeeping actions.

For a transfer the HIN represents the Delivering HIN.

Sender: CHES

Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
16	HIN	10 Numeric	M
21	Processing Timestamp	22 Character	M
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M

Transmission Cut off times: None

Prerequisites: None

3.9.16 Redemption Request [800-02]

To allow a Participant to request the redemption of a:

- Nominated Number of Units
- Nominated Fund Amount
- Full Redemption

Under the following conditions:

- Where Full Redemption = 'Y', if neither Fund Amount or Number of Units populated - CHES will accept Participant's Redemption Request
- Where Full Redemption = 'N', if either Fund Amount or Number of Units populated - CHES will accept Participant's Redemption Request
- Where Full Redemption = 'Y', if either Fund Amount or Number of Units populated – CHES will reject Participant's Redemption Request
- Where Full Redemption = 'N', If both Fund Amount and Number of Units populated - CHES will reject Participant's Redemption Request
- Where Full Redemption = 'N', if neither Fund Amount or Number of Units populated - CHES will reject Participant's Redemption Request

Sender: Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	O
11	Full Redemption	1 Character	M
16	HIN	10 Numeric	M
34	Participant Reference	16 Character	O
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
190	Nett or Gross	1 Character	M
191	Redemption Request Reason	1 Character	O
193	Bit Map 5 Marker	Off	M
232	Number of Units	18 Numeric, 6 decimal	O
234	Product Name	50 Character	O
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: None

3.9.17 Redemption Order Request [801-02]

To notify a Product Issuer Settlement Participant of a request for redemption of units in a Fund for either of the following:

- If Full Redemption equals 'Y' then Fund Amount and Number of Units will not be populated
- If Full Redemption equals 'N' then Number of Units or Fund Amount will be populated

Sender: CHES

Recipient: Product Issuer Settlement Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	O
11	Full Redemption	1 Character	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
190	Nett or Gross	1 Character	M
191	Redemption Request Reason	1 Character	O
193	Bit Map 5 Marker	Off	M
232	Number of Units	18 Numeric, 6 decimal	O
234	Product Name	50 Character	O
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of an 800 Redemption Request

3.9.18 Redemption Order Response [802-02]

To allow a Product Issuer Settlement Participant to accept, reject or place ‘On-Hold’ a request for redemption of units in a Fund.

Where Number of Units is populated, Gross is taken as the Nett or Gross value. Both Tax Deducted and Fees values must be populated.

Where Full Redemption is requested (Full Redemption overrides both Number of Units and Fund Amount if supplied), Gross is taken as the Nett or Gross value. Both Tax Deducted and Fees values must be populated.

Where Fund Amount is populated and Gross has been indicated as the Nett or Gross value, both Tax Deducted and Fees values must be populated.

Where Fund Amount is populated and Nett has been indicated as the Nett or Gross value, only the Fees value must be populated. Tax Deducted does not apply.

Examples of the principles that are applied for Gross and Nett processing are shown below:

1. Where a Participant indicates ‘Gross’ on the *800 Redemption Request* and a **Fund Amount** (say \$1000) this indicates to the PISP that the Participant wishes to redeem \$1000 inclusive of Fees and Tax. The amount to settle would therefore equal the **Fund Amount** minus Fees and Tax Deducted.

Example:

Fund Amount: \$1000
Nett or Gross: G
Fees: \$50 (retained by the PISP)
Tax Deducted: \$100 (retained by the PISP and forwarded to ATO)
Amount to settle: \$850 (as shown on the 731 “Scheduled Settlement Payment Instruction”)

2. Where a Participant indicates ‘Nett’ on the *800 Redemption Request* and a **Fund Amount** (say \$1000). This indicates to the PISP that the Participant wishes to redeem \$1000 worth of units exclusive of Fees and Tax; and that the Fees will be paid to the PISP and the Tax to the ATO outside of CHES. The amount to settle would therefore equal the **Fund Amount**

Example:

Fund Amount: \$1000
Nett or Gross: N
Fees: \$50 (paid to PISP ex CHES)
Tax Deducted: \$0 (paid to ATO ex CHES)
Amount to settle: \$1000 (as shown on the 731 “Scheduled Settlement Payment Instruction”)

Sender: Product Issuer Settlement Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M

3	Fund Amount	15 Numeric; 2 decimal	O
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
22	Transaction Status	1 Character	M
33	Hold Reason	3 Character	O
48	Transaction Id	16 Character	M
61	Rejected Order Reason	5 Numeric	O
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
155	Unit Price	11 Numeric, 6 decimal	O
157	Order Reference	16 Character	O
190	Nett or Gross	1 Character	M
193	Bit Map 5 Marker	Off	M
223	Tax Deducted	15 Numeric, 2 decimal	O
224	Income	15 Numeric, 2 decimal	O
232	Number of Units	18 Numeric, 6 decimal	O
236	Unit Pricing Date	8 Numeric	O
237	Fees	15 Numeric, 2 decimal	O
242	Payment Date	8 Numeric	O
245	APIR Code	9 Character	O

Transmission Cut off times: Settlement Cut-off Time, if the message is to be processed prior to the next settlement process

Prerequisites: Receipt of 801 Redemption Order Request sent to the Product Issuer Settlement Participant

3.9.19 Effected Redemption Order Request [803-02]

To notify a Participant of either of the following:

- Redemption Order Request has been accepted or rejected or placed on-hold by the Product Issuer Settlement Participant;
 - If Accepted, the Product Issuer Settlement Participant initially provides details of the Unit Pricing Date and Payment Date
 - If Rejected, a valid Rejected Reason is provided by the Product Issuer Settlement Participant
 - If On-Hold, a valid on-hold reason is provided by the Product Issuer Settlement Participant

Or

- Additional details for a previous accepted Redemption Order Request (e.g. Unit Price, Number of Units, Fees);

Note: Subsequent 802 Redemption Order Response messages can be sent by the Product Issuer Settlement Participant to provide additional detail data to complete the transaction.

Sender: CHES
Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	O
16	HIN	10 Numeric	M
21	Processing Timestamp	22 Character	M
22	Transaction Status	1 Character	M
33	Hold Reason	3 Character	O
48	Transaction Id	16 Character	M
61	Rejected Order Reason	5 Numeric	O
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
155	Unit Price	11 Numeric, 6 decimal	O
157	Order Reference	16 Character	O
190	Nett or Gross	1 Character	M
193	Bit Map 5 Marker	Off	M
223	Tax Deducted	15 Numeric, 2 decimal	O
224	Income	15 Numeric, 2 decimal	O
232	Number of Units	18 Numeric, 6 decimal	O
236	Unit Pricing Date	8 Numeric	O
237	Fees	15 Numeric, 2 decimal	O
242	Payment Date	8 Numeric	O
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of an 802 Redemption Order Response submitted by a Product Issuer Settlement Participant

3.9.20 Switch Request [806-02]

To allow a Participant to request a switch (in effect a pari passu redemption and application) of units in one Fund to another Fund that is under the control of the Product Issuer Settlement Participant for the same Issuer. The switch of units can occur for a Fund in a CHES or Issuer Sponsored Holding

The Participant is to indicate if the Switch Request is a ‘full’ or ‘partial’ switch.

- To indicate that a ‘full’ switch is requested, a ‘Y’ must be provided in the Full Switch field. If ‘Y’ is entered then Fund Amount and Units Redeemed are not applicable
- To indicate that a ‘partial’ switch is requested, an ‘N’ must be provided in the Full Switch field. If ‘N’ is entered then either Fund Amount or Units Redeemed must be entered.

Sender: Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Redemption Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	O
10	Application Fund Code	12 Character	M
11	Full Switch	1 Character	M
16	HIN	10 Numeric	M
34	Participant Reference	16 Character	O
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
190	Nett or Gross	1 Character	M
193	Bit Map 5 Marker	Off	M
200	Application Product Name	50 Character	O
231	Current PDS Provided	1 Character	M
232	Units Redeemed	18 Numeric, 6 decimal	O
234	Redemption Product Name	50 Character	O
236	PDS Issue Date	8 Numeric	M
245	Redemption APIR Code	9 Character	O
246	Application APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: None

3.9.21 Switch Order Request [807-02]

To notify a Product Issuer Settlement Participant of a request to switch units in a Fund either:

- Where Full Switch equals 'Y', Fund Amount and Units Redeemed are not applicable
- Where Full Switch equals 'N', then a Participant would have requested to switch a specific number of units or switch units to the value of Fund Amount provided.

The Redemption Fund Code and Application Fund Code must be under the control of the one Product Issuer Settlement Participant within the same Issuer.

Sender: CHES

Recipient: Product Issuer Settlement Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Redemption Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	O
10	Application Fund Code	12 Character	M
11	Full Switch	1 Character	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
190	Nett or Gross	1 Character	M
193	Bit Map 5 Marker	Off	M
200	Application Product Name	50 Character	O
231	Current PDS Provided	1 Character	M
232	Units Redeemed	18 Numeric, 6 decimal	O
234	Redemption Product Name	50 Character	O
236	PDS Issue Date	8 Numeric	M
245	Redemption APIR Code	9 Character	O
246	Application APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of an 806 Switch Request

3.9.22 Switch Order Response [808-02]

To allow a Product Issuer Settlement Participant to accept, reject or place ‘On-Hold’ a request to switch units (i.e. pari passu a redemption and application) from one fund to another fund under the control of the Product Issuer settlement Participant for the same Issuer.

Sender: Product Issuer Settlement Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Redemption Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	O
10	Application Fund Code	12 Character	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
22	Transaction Status	1 Character	M
33	Hold Reason	3 Character	O
48	Transaction Id	16 Character	M
61	Rejected Order Reason	5 Numeric	O
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
155	Redemption Unit Price	11 Numeric, 6 decimal	O
157	Order Reference	16 Character	O
190	Nett or Gross	1 Character	M
193	Bit Map 5 Marker	Off	M
223	Tax Deducted	15 Numeric, 2 decimal	O
224	Income	15 Numeric, 2 decimal	O
232	Units Redeemed	18 Numeric, 6 decimal	O
235	Application Unit Price	11 Numeric, 6 decimal	O
236	Application Unit Pricing Date	8 Numeric	O
237	Fees	15 Numeric, 2 decimal	O
238	Application Units	18 Numeric, 6 decimal	O
239	Unit Allotment Date	8 Numeric	O
241	Redemption Unit Pricing Date	8 Numeric	O
245	Redemption APIR Code	9 Character	O
246	Application APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of an 807 Switch Order Request sent to a Product Issuer Settlement Participant

3.9.23 Effected Switch Order Request [809-02]

To notify a Participant of either of the following:-

- Switch Order Request has been accepted or rejected or placed on-hold by the Product Issuer Settlement Participant;
 - If Accepted, the Product Issuer Settlement Participant initially needs to provide details of the Redemption Unit Pricing Date, Application Unit Pricing Date and Unit Allotment Date; or
 - If Rejected, a valid Rejected Reason is to be provided by the Product Issuer Settlement Participant; or
 - If On-Hold, a valid on-hold reason is to be provided by the Product Issuer Settlement Participant

Or

- Additional details for a previous accepted Redemption Order Request (e.g. Application Unit Price, Redemption Unit Price, Application Units, Units Redeemed, Fees);

Note: Subsequent 808 Switch Order Response messages can be sent by the Product Issuer Settlement Participant to provide additional detail data to complete the transaction.

Sender: CHES

Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Redemption Fund Code	12 Character	M
3	Fund Amount	15 Numeric; 2 decimal	O
10	Application Fund Code	12 Character	M
16	HIN	10 Numeric	M
21	Processing Timestamp	22 Character	M
22	Transaction Status	1 Character	M
33	Hold Reason	3 Character	O
48	Transaction Id	16 Character	M
61	Rejected Order Reason	5 Numeric	O
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
155	Redemption Unit Price	11 Numeric, 6 decimal	O
157	Order Reference	16 Character	O
190	Nett or Gross	1 Character	M
193	Bit Map 5 Marker	Off	M
223	Tax Deducted	15 Numeric, 2 decimal	O
224	Income	15 Numeric, 2 decimal	O
232	Units Redeemed	18 Numeric, 6 decimal	O
235	Application Unit Price	11 Numeric, 6 decimal	O
236	Application Unit Pricing Date	8 Numeric	O

237	Fees	15 Numeric, 2 decimal	O
238	Application Units	18 Numeric, 6 decimal	O
239	Unit Allotment Date	8 Numeric	O
241	Redemption Unit Pricing Date	8 Numeric	O
245	Redemption APIR Code	9 Character	O
246	Application APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of an 808 Switch Order Response submitted by the Product Issuer Settlement Participant

3.9.24 Unit Reversal Notification [845-02]

To notify a Participant that an order is to be reversed, and adjusted unit values are to be applied via the 732 Unit Adjustment CHES message. Related payment adjustments for the reversed order must occur outside of CHES.

A separate instance of the 732 Unit Adjustment CHES message is required to:

- Advise of the reversal of the original unit adjustment
- Advise of the re-application of adjusted unit values

Sender: Product Issuer Settlement Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
22	Transaction Status	1 Character	M
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
155	Unit Price	11 Numeric, 6 decimal	M
157	Order Reference	16 Character	O
193	Bit Map 5 Marker	Off	M
222	Order Type	3 Character	M
232	Number of Units	18 Numeric, 6 decimal	M
236	Unit Pricing Date	8 Numeric	M
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: A completed Application / Redemption / Switch Request

3.9.25 Effected Unit Reversal Notification [846-02]

To notify a Participant that the Product Issuer Settlement Participant has requested the reversal of an order request that had previously been completed.

Sender: CHES

Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
22	Transaction Status	1 Character	M
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
155	Unit Price	11 Numeric, 6 decimal	M
157	Order Reference	16 Character	O
193	Bit Map 5 Marker	Off	M
222	Order Type	3 Character	M
232	Number of Units	18 Numeric, 6 decimal	M
236	Unit Pricing Date	8 Numeric	M
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of an 845 Unit Reversal Notification submitted by a Product Issuer Settlement Participant

3.9.26 CHES to CHES Fund Transfer Request [851-01]

The purpose of this transfer request is to enable a Participant to transfer fund units between two CHES holdings under its control. Note that the details are from the Transferee perspective. Transfer may be for the full holding or for a part, in which case the Number of Units must be included.

The values for Current PDS Provided and AML/CTF Flag fields apply to the Receiving HIN.

The Participant is advised whether the transfer request was effected or rejected by CHES.

Both the Receiving HIN and the Delivering HIN must be present in the message.

Sender: Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
11	Full Transfer	1 Character	M
16	Receiving HIN	10 Numeric	M
17	Delivering HIN	10 Numeric	M
34	Participant Reference	16 Character	O
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
193	Bit Map 5 Marker	Off	M
209	AML / CTF Flag	1 Character	M
231	Current PDS Provided	1 Character	M
232	Number of Units	18 Numeric, 6 Decimal	O
236	PDS Issue Date	8 Numeric	M
245	APIR Code	9 Character	O

Transmission Cut off times:

Settlement Cut-off Time - if the message is to be processed prior to the next settlement process

End of Day - if the message is to be processed prior to the end of day process.

Prerequisites:

None

3.9.27 Fund Transfer Response [852-01]

The purpose of this message is to notify a Participant that a transfer of fund units between CHES holdings (HIN) under the control of the same Participant (PID) has been approved or rejected by the PISP. If accepted the units will be moved to the receiving HIN.

Sender: CHES
Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
21	Processing Timestamp	22 Character	M
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
70	Registry Reference	16 Character	O
128	Rejected Transfer Reason	1 Character	O
129	Bit Map 4 Marker	On	M
193	Bit Map 5 Marker	Off	M
232	Transferor Holding Fund Balance	18 Numeric, 6 Decimal	O
233	Transferee Holding Fund Balance	18 Numeric, 6 Decimal	O

Transmission Cut off times:

None

Prerequisites:

Receipt of an 854 CHES to CHES Fund Transfer Response

3.9.28 CHES to CHES Fund Transfer Request Details [853-01]

To notify a Product Issuer Settlement Participant and Registry of a request to transfer fund units between two CHES holdings. Note that the details are from the Transferee perspective. Transfer may be for the full holding or for a part, in which case the Number of Units must be included.

Sender: CHES

Recipient: Product Issuer Settlement Participant and Registry

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Fund Code	12 Character	M
11	Full Transfer	1 Character	M
16	Receiving HIN	10 Numeric	M
17	Delivering HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	22 Character	M
34	Participant Reference	16 Character	O
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
129	Bit Map 4 Marker	On	M
193	Bit Map 5 Marker	Off	M
209	AML / CTF Flag	1 Character	M
231	Current PDS Provided	1 Character	M
232	Number of Units	18 Numeric, 6 Decimal	O
236	PDS Issue Date	8 Numeric	M
245	APIR Code	9 Character	O

Transmission Cut off times:

None

Prerequisites:

None

3.9.29 CHES to CHES Fund Transfer Response [854-01]

To allow a Product Issuer Settlement Participant to respond to a transfer request from a Participant to transfer fund units between two CHES holdings.

The Product Issuer Settlement Participant has the ability to either accept or reject the transfer request.

Sender: Product Issuer Settlement Participant

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
35	Supplementary Reference	16 Character	O
48	Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
70	Registry Reference	16 Character	O
128	Rejected Transfer Reason	1 Character	O
129	Bit Map 4 Marker	On	M
193	Bit Map 5 Marker	Off	M

Transmission Cut off times:

None

Prerequisites:

Receipt of an 853 CHES to CHES Fund Transfer Request Details

3.9.30 Registry Income Statement Part A [957-01]

The purpose of this message is for the Registry to forward Annual Income Statement details for a sponsored holder, in response to a Participant request. The details provided align with 'Part A' of the ATO Standard Statement data set.

As the ATO Standard Income Statement data set is inclusive of all investors and all financial instruments, some sections may not apply to fund investors. To facilitate movement of data, CHES will provide a series of messages that mirror the ATO income statement sections. The Total Message Count value in the MT971 will indicate the number of messages transmitted that make up the message set. This value will be used by CHES to confirm and link the individual Income Statement messages. The Set Transaction Id links the messages.

Sender: Registry

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Security Code	12 Character	M
16	HIN	10 Numeric	M
19	PID	5 Numeric	M
22	Income Statement Status	1 Character	M
48	Transaction Id	16 Character	M
49	Set Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
94	As At Date	8 Numeric	M
129	Bit Map 4 Marker	On	M
136	Non Primary Income	14 Numeric, 2 Decimal	O
137	Trust Franked Distributions	14 Numeric, 2 Decimal	O
165	Franking Credit	14 Numeric, 2 Decimal	O
166	TFN Withholding	14 Numeric, 2 Decimal	O
181	Annual Capital Gain	14 Numeric, 2 Decimal	O
193	Bit Map 5 Marker	On	M
245	APIR Code	9 Character	O
268	Net Capital Gain	14 Numeric, 2 Decimal	O
269	Assessable Foreign Income	14 Numeric, 2 Decimal	O
270	Other Foreign Income	14 Numeric, 2 Decimal	O
271	Foreign Income Tax Offsets	14 Numeric, 2 Decimal	O
272	Non Primary Distribution Deductions	14 Numeric, 2 Decimal	O

Transmission Cut off times: None

Prerequisites: Receipt of an 884 Accepted Income Statement Request

3.9.31 Participant Income Statement Part A [962-01]

The purpose of this message is to provide the requesting Participant with a statement of an investor’s annual income. The details provided align with Part A of the ATO Standard Income Statement data set.

As the ATO Standard Income Statement data set is inclusive of all investors and all financial instruments, some sections may not apply to fund investors. To facilitate movement of data, CHES will provide a series of messages that mirror the ATO income statement sections. The Total Message Count value in the MT976 will indicate the number of messages transmitted that make up the message set. This value should be used by the Participant to confirm and link the individual Income Statement messages. The Set Transaction Id links the messages.

Sender: CHES

Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Security Code	12 Character	M
16	HIN	10 Numeric	M
21	Processing Timestamp	22 Character	M
22	Income Statement Status	1 Character	M
48	Transaction Id	16 Character	M
49	Set Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
94	As At Date	8 Numeric	M
129	Bit Map 4 Marker	On	M
136	Non Primary Income	14 Numeric, 2 Decimal	O
137	Trust Franked Distributions	14 Numeric, 2 Decimal	O
165	Franking Credit	14 Numeric, 2 Decimal	O
166	TFN Withholding	14 Numeric, 2 Decimal	O
181	Annual Capital Gain	14 Numeric, 2 Decimal	O
193	Bit Map 5 Marker	On	M
245	APIR Code	9 Character	O
268	Net Capital Gain	14 Numeric, 2 Decimal	O
269	Assessable Foreign Income	14 Numeric, 2 Decimal	O
270	Other Foreign Income	14 Numeric, 2 Decimal	O
271	Foreign Income Tax Offsets	14 Numeric, 2 Decimal	O
272	Non Primary Distribution Deductions	14 Numeric, 2 Decimal	O

Transmission Cut off times: None

Prerequisites: Receipt of a 958 Accepted Registry Income Statement Set

3.9.32 Registry Income Statement Part C NA [967-02]

The purpose of this message is for the Registry to forward Annual Income Statement details for a sponsored holder, in response to a Participant request. The details provided align with the 'Other Non-Assessable Amounts' component of Part C of the ATO Standard Statement data set.

As the ATO Standard Income Statement data set is inclusive of all investors and all financial instruments, some sections may not apply to fund investors. To facilitate movement of data, CHES will provide a series of messages that mirror the ATO income statement sections. The Total Message Count value in the MT971 will indicate the number of messages transmitted that make up the message set. This value will be used by CHES to confirm and link the individual Income Statement messages. The Set Transaction Id links the messages.

Sender: Registry

Recipient: CHES

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Security Code	12 Character	M
16	HIN	10 Numeric	M
19	PID	5 Numeric	M
22	Income Statement Status	1 Character	M
48	Transaction Id	16 Character	M
49	Set Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
94	As At Date	8 Numeric	M
129	Bit Map 4 Marker	On	M
136	NA Tax Exempted Amounts Cash	14 Numeric, 2 Decimal	O
137	NA Tax Deferred Amounts Cash	14 Numeric, 2 Decimal	O
165	NA Gross Cash	14 Numeric, 2 Decimal	O
166	NA Tax Free Amounts Cash	14 Numeric, 2 Decimal	O
193	Bit Map 5 Marker	Off	M
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of an 884 Accepted Income Statement Request

3.9.33 Participant Income Statement Part C NA [972-02]

The purpose of this message is to provide the requesting Participant with a statement of an investor's annual income. The details provided align with the 'Other Non-Assessable Amounts' component of Part C of the ATO Standard Income Statement data set.

As the ATO Standard Income Statement data set is inclusive of all investors and all financial instruments, some sections may not apply to fund investors. To facilitate movement of data, CHESS will provide a series of messages that mirror the ATO income statement sections. The Total Message Count value in the MT976 will indicate the number of messages transmitted that make up the message set. This value should be used by the Participant to confirm and link the individual Income Statement messages. The Set Transaction Id links the messages.

Sender: CHESS

Recipient: Participant

Bit Position	Field Name	Format	Mandatory/Optional (M/O)
1	Bit Map 2 Marker	On	M
2	Security Code	12 Character	M
16	HIN	10 Numeric	M
21	Processing Timestamp	22 Character	M
22	Income Statement Status	1 Character	M
48	Transaction Id	16 Character	M
49	Set Transaction Id	16 Character	M
62	Origin Transaction Id	16 Character	M
65	Bit Map 3 Marker	On	M
94	As At Date	8 Numeric	M
129	Bit Map 4 Marker	On	M
136	NA Tax Exempted Amounts Cash	14 Numeric, 2 Decimal	O
137	NA Tax Deferred Amounts Cash	14 Numeric, 2 Decimal	O
165	NA Gross Cash	14 Numeric, 2 Decimal	O
166	NA Tax Free Amounts Cash	14 Numeric, 2 Decimal	O
193	Bit Map 5 Marker	Off	M
245	APIR Code	9 Character	O

Transmission Cut off times: None

Prerequisites: Receipt of a 958 Accepted Registry Income Statement Set

3.10 CHESS Field Definitions

New CHESS message field definitions are included here. All existing CHESS message field definitions are documented in the CHESS EIS available through ASXOnline or on request.

Account Type

Format	1 Character
Definition	Indicates the type of entity for regulatory foreign tax status determination.
Allowable Values	'C' = Company 'I' = Individual 'J' = Joint 'S' = Superannuation Fund (includes SMSF) 'T' = Trust

Additional Foreign Parties

Format	1 Character
Definition	Indicates that there are more than 3 Foreign Tax Residents associated with an Account Type.
Allowable Values	'Y' = Yes 'N' = No

Address Details 1

Format	180 Character
Definition	Describes a residential, registered or trust address for foreign tax purposes.
Allowable Values	Refer <i>Section 8.2</i> of the <i>EIS</i> , or 'N/A'

Address Details 2

Format	180 Character
Definition	Describes a residential address for foreign tax purposes for additional parties to Account Type of 'Joint'.
Allowable Values	Refer <i>Section 8.2</i> of the <i>EIS</i> , or 'N/A'

Address Details 3

Format	180 Character
Definition	Describes a residential address for foreign tax purposes for additional parties to Account Type of 'Joint'.
Allowable Values	Refer <i>Section 8.2</i> of the <i>EIS</i> , or 'N/A'

Address Type

Format	1 Character
Definition	Indicates the type of address entered for foreign tax purposes. This depends on the Account Type.
Allowable Values	'G' = Registered 'R' = Residential 'T' = Trust

Advisor Code

Format	30 Characters
Definition	Identifies an Advisor by code.
Allowable Values	'N/A' is allowable.

Advisor Email

Format	50 Characters
Definition	An Email address specified for an Advisor.
Allowable Values	Must include an @ symbol, at least one full stop and no spaces. 'N/A' is allowable.

Advisor Mobile

Format	16 Character
Definition	The mobile phone number for an Advisor. Include mobile country code prefix where appropriate.
Allowable Values	'N/A' is allowable.

Advisor Name

Format	30 Characters
Definition	Identifies an Advisor by name.
Allowable Values	'N/A' is allowable.

Dealer Group AFSL Number

Format	10 Characters
Definition	Identifies a Dealer Group by their Dealer's AFSL (Australian Financial Services License) identification number.
Allowable Values	'N/A' is allowable.

Dealer Group Name

Format	30 Characters
Definition	Identifies a Dealer Group by name.
Allowable Values	'N/A' is allowable.

Entity Type

Format	1 Character
Definition	Specifies the type of entity for Foreign Tax purposes.
Allowable Values	'A' = Active NFE 'F' = Financial Institution 'P' = Passive NFE 'N' = Not applicable

Foreign Person Date of Birth 1

Format	8 Numeric
Definition	Specifies the birth date of a Foreign Tax Resident.
Allowable Values	(See Date)

Foreign Person Date of Birth 2

Format	8 Numeric
Definition	Specifies the birth date of a Foreign Tax Resident.
Allowable Values	(See Date)

Foreign Person Date of Birth 3

Format	8 Numeric
Definition	Specifies the birth date of a Foreign Tax Resident.
Allowable Values	(See Date)

Foreign Country Code (1A - 3C)

Format	3 Character
Definition	Identifies the country of the foreign tax residency.
Allowable Values	3 Character ISO Country Code.

Foreign Person 1

Format	1 Character
Definition	Identifies an investor as foreign for tax reporting purposes.
Allowable Values	'Y' = Yes 'N' = No

Foreign Person 2

Format	1 Character
Definition	Identifies an investor as foreign for tax reporting purposes.
Allowable Values	'Y' = Yes

'N' = No

Foreign Person 3

Format 1 Character
 Definition Identifies an investor as foreign for tax reporting purposes.
 Allowable Values 'Y' = Yes
 'N' = No

Foreign TIN (1A - 3C)

Format 30 Character
 Definition Identifies the foreign tax identifier (TIN). Note that TIN is used here as a generic term for any Tax File Identifier assigned within any foreign jurisdiction.
 Allowable Values

Full Transfer

Format 1 Character
 Definition Identifies where an investor has requested that the holding be transferred in full (Y) or in part (N).
 Allowable Values 'Y' = Yes
 'N' = No

Investor Email Address

Format 50 Character
 Definition An Email address specified for an investor.
 Allowable Values 'N/A' is allowable. (See Email Address)

Investor Email Purpose

Format 1 Character
 Definition The purpose for which an Email address may be used.
 Allowable Values (See Email Purpose)

Investor Mobile Contact

Format 16 Character
 Definition The mobile phone number for the investor. Include country code where appropriate.
 Allowable Values 'N/A' is allowable.

Linking Transaction Id

Format 16 Character
 Definition mFund specific. When used in an 'Initial' application request this field equals the Transaction Id of the MT726 Application Request. When used in a 'Subsequent' application request or as a standalone request this field equals the Transaction Id of the requesting message. When used in a transfer request this value is the Transaction Id of the originating MT851 CHESS To CHESS Fund Transfer Request.
 Allowable Values Refer *Section 8.6* of the *EIS* – Transaction Id.

NA Tax Free Amounts Cash

Format 14 Numeric, 2 decimal
 Definition Non Assessable: Total of net cash amount free from taxation. An ATO Tax Statement value.
 Allowable Values

Non Primary Distribution Deductions

Format 14 Numeric, 2 decimal
 Definition Total distribution deductions from non-primary production income. An ATO Tax Statement value.

Rejected Movement Reason

Format 1 Character
 Definition The reason that a movement of securities from an issuer controlled subregister to the CHESS subregister has been rejected by the registry.

Note: For mFund related conversions not all reasons presented below are applicable. mFund applicable reasons are marked with an asterisk (*).

Allowable Values	'A' = Issuer holding locked *
	'B' = Certificate invalid
	'C' = Unauthorised access
	'D' = Certificate declared lost
	'E' = Insufficient securities *
	'F' = Registration Details do not match *
	'G' = Invalid PIN
	'H' = Invalid Registry client identifier/SRN *
	'J' = Documentation not received
	'K' = Registry certificate quantity different to certificate quantity supplied
	'L' = Duplicate certificate number detected by registry - SRN must be supplied
	'M' = Insufficient Cum Entitlement
	'N' = Probate not noted *
	'O' = Invalid Foreign Guarantee
	'P' = Insufficient Foreign Units
	'R' = Documentation incorrectly signed

Rejected Order Reason

Format	5 Numeric
Definition	The reason why a message submitted to a Product Issuer Settlement Participant has been rejected.
Allowable Values	50000 Order Amount is less than minimum value
	50005 Account is a Deceased Estate
	50006 Account has insufficient units
	50011 AML/CTF Check Flag is not Y (Yes)
	50013 Fund is closed to Existing Accounts
	50014 Fund is closed to New Accounts
	50020 Current PDS Provided indicator is not Y (Yes)
	50021 Order amount results in holding below the minimum balance
	50023 TFN, ABN or exemption code required for Australian residents
	50024 Date of Birth is mandatory for Individual Applicants
	50026 Foreign Residence Indicator is incorrect
	50027 DRP not offered for this fund
	50029 Invalid BSB or Bank Account Details
	50031 PDS Issue Date supplied is not the latest issued PDS
	50032 Switch Orders not accepted by Fund Manager
	50033 Fund pricing is currently not available
	50034 Fund is classified as illiquid
	50035 ABN required for superannuation funds (account type S)
	50036 Incomplete details provided for Individual/Joint account with Foreign Tax Status
	50037 Residential/trust/registered address for foreign resident is invalid
	50038 Registry client identifier/SRN invalid
	50039 Order amount is invalid
	50040 Applications from Companies or Trusts are not accepted
	50041 Applications from foreign tax residents are not accepted
	50042 Fund available to restricted investors only

Rejected Transfer Reason

Format	1 Character
Definition	The reason that a demand dual entry transfer failed despite both sides of the transfer being matched or where an mFund CHESS to CHESS transfer has been rejected by either a PISP or by CHESS.
Allowable Values	'A' = Insufficient Units
	'B' = Insufficient Entitlements
	'C' = Delivering Holding / Holder Locked
	'D' = Receiving Holding Locked

'E' = Insufficient Foreign Units
 'F' = Account is a Deceased Estate
 'G' = Request cannot be accepted as AML/CTF Check Flag is not 'Y' (Yes)
 'H' = TFN, ABN or exemption code required for Australian residents
 'I' = Tax Residence is mandatory for applicants
 'J' = DRP Preference is mandatory for an Initial Application
 'K' = Invalid BSB or Bank Account Details
 'L' = PDS Issue Date supplied is not the latest issued PDS
 'M' = Transfer to Companies and Trusts are not accepted
 'N' = Transfers to foreign tax residents are not accepted
 'O' = Fund available to restricted investors only
 'P' = Fund Manager does not accept transfers

Superannuation Fund ABN

Format 12 Characters
 Definition The Australian Business Number (ABN) of a Superannuation Fund. The ABN must be left-justified (with trailing spaces if necessary) and no delimiter characters should be included.
 Allowable Values Valid ABN or 'N/A'

Tax File Number / ABN 1

Format 12 Characters
 Definition The Australian Business Number, Tax File Number or exemption code of an individual holder or the first joint holder. The Australian Business Number, Tax File Number/Exemption Code should be left-justified (with trailing spaces if necessary) and no delimiter characters should be included. The Investor Type should be the 12th character if included.
 Allowable Values 'N/A' is allowable.

Tax File Number / ABN 2

Format 12 Characters
 Definition The Australian Business Number, Tax File Number or exemption code of the second joint holder.
 Allowable Values 'N/A' is allowable.

Tax File Number / ABN 3

Format 12 Characters
 Definition The Australian Business Number, Tax File Number or exemption code of the third joint holder.
 Allowable Values 'N/A' is allowable.

TIN Absent (1A - 3C)

Format 1 Character
 Definition Indicates the reason why a foreign TIN has not been provided by the nominated foreign tax jurisdiction.
 Allowable Values 'A' = Country of tax residency does not issue TINs to tax residents.
 'B' = Investor has not been issued with a TIN.
 'C' = Country of tax residency does not require a TIN to be disclosed.

Transferee Holding Fund Balance

Format 18 Numeric, 6 decimal
 Definition The resulting holding balance of the transferee's holding following the application of a transfer.
 Allowable Values

Transferor Holding Fund Balance

Format 18 Numeric, 6 decimal
 Definition The resulting holding balance of the transferor's holding following the application of a transfer.
 Allowable Values

Trust Franked Distributions

Format 14 Numeric, 2 decimal

Definition Total franked distributions from trusts. An ATO Tax Statement value.

Allowable Values

3.11 Foreign Tax Determination Matrix

The structure allows up to 3 Foreign Persons per Account Type to be identified and 3 Foreign Tax Residencies per Foreign Person. An Additional Foreign Parties indicator Indicates where there are more than 3 Foreign Persons identified for the Account Type.

Account Type	Address Type ¹	Address Details	Entity Type ²	Foreign Residency Indicator	Superannuation Fund ABN ³	Foreign Person ⁴	Foreign Person Date of Birth	Foreign Country Code ⁵	Foreign TIN ⁶	TIN Absent ⁷	Comments
	3 instances provided for Account Type 'J'					3 instances provided – any additional identified Foreign Persons can be indicated by using the Additional Foreign Parties indicator					
								3 instances provided			
S (Super Fund)					Y						No foreign tax reporting implications
I (Individual)	Y	Y		Y		Y	Y	Y	Y	Y if no Foreign TIN	
	Y	Y		N							No foreign tax reporting implications
J (Joint)	Y	Y		Y		Y	Y	Y	Y	Y if no Foreign TIN	Align the group entries with the holder names as they appear in the HIN Registration details.
	Y	Y		N							No foreign tax reporting implications
C (Company)	Y	Y	Y	Y							
	Y	Y	Y	N							No foreign tax reporting implications
T (Trust)	Y	Y	Y	Y							
	Y	Y	Y	N							No foreign tax reporting implications

Notes
1 A Residential Address is required for Account Types 'I' and 'J'; a Registered Address is required for Account Type 'C'; a Trust Address is required for Account Type 'T'.
2 Entity Type denotes, for Account Types 'C' and 'T', whether the entity is an Active NFE, Passive NFE or a Financial Institution.
3 A Superannuation Fund ABN is required for Account Type 'S'.
4 Up to 3 Foreign Persons may be identified. Where more than 3 Foreign Persons are identified, the Additional Foreign Parties indicator must be used.
5 Up to 3 X 3 Character ISO Country Codes may be entered per Foreign Person. AUS (Australia) not accepted.
6 Up to 3 Tax Identifiers, such as a TIN, may be entered per Foreign Person.
7 Up to 3 unknown Tax Identifiers, such as a TIN, may be described as absent per Foreign Person.

3.12 Foreign Tax Validation Matrix

Examples are provided in 3.13 Foreign Tax Determination Example 1 and 3.14 Foreign Tax Determination Example 2.

Account Type	Address Type	Address Details (3)	Entity Type	Foreign Residency Indicator	Superannuation Fund ABN	Foreign Person (3)	Foreign Person Date of Birth (3)	Foreign Country Code (3)	Foreign TIN (3)	TIN Absent (3)	Additional Foreign Parties
S	Error if populated	Error if populated	Error if populated	Error if populated	Mandatory	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated
I	Mandatory = R	Mandatory Single instance only	Error if populated	Mandatory	Error if populated	Mandatory Single instance if Foreign	Mandatory Single instance if Foreign	Mandatory Instance per Foreign Country Code. Error if 'AUS'	Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated.	Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated.	Error if populated
J	Mandatory = R	Mandatory Instance per Joint holder. At least 2 instances must be present	Error if populated	Mandatory. <i>Note:</i> Y if any of the Joint holders are Foreign.	Error if populated	Mandatory Instance per Foreign person	Mandatory Instance per Foreign person	Mandatory Instance per Foreign Country Code. Error if 'AUS'	Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated.	Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated.	No validation, but we expect the brokers to do the following: Aligned on the HIN Registration Details, populate with 'Y' where more than 3 parties are Foreign or where the HIN Registration Details list greater than 3 Persons on the account and those persons are Foreign.
C	Mandatory = G	Mandatory Single instance only	Mandatory	Mandatory	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated
T	Mandatory = T	Mandatory Single instance only	Mandatory	Mandatory	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated	Error if populated

3.13 Foreign Tax Determination Example 1

This table shows examples where there is a Foreign Residency identified.

Account Type	Address Type	Address Details (3)	Entity Type	Foreign Residency Indicator	Superannuation Fund ABN	Foreign Person (3)	Foreign Person Date of Birth (3)	Foreign Country Code (3)	Foreign TIN (3)	TIN Absent (3)	Additional Foreign Parties
S	No value	No values	No value	No value	34667800900S	No values	No values	No values	No values	No values	No value
I	R	(1) Mr B. Grete 18 Muru Ave Auckland NZ (2)No value (3)No value	No value	Y	No value	(1)Y (2)No value (3)No value	(1)03121955 (2)No value (3)No value	(1)NZL (2)No value (3)No value	(1)NZ2X5467 (2)No value (3)No value	(1)No value (2)No value (3)No value	No value
J	R	(1)Mrs B. Ushen 342 Air Ave Picton NSW Australia (2) Ms. L. Jitty 7 Poy Lane Exeter England (3) Mr. J. Duton 81a Ret Road Picton NSW Australia	No value	Y	No value	(1)No value (2)Y (3)No value	(1)No value (2)03121955 (3)No value	(1)No value (2)No value (3)No value (1)ENG (2)No value (3)No value (1)No value (2)No value (3)No value	(1)No value (2)No value (3)No value (1)RE23UU6789 (2)No value (3)No value (1)No value (2)No value (3)No value	(1)No value (2)No value (3)No value (1)No value (2)No value (3)No value	Y (indicates that an additional person not named explicitly is Foreign – Issuer to follow up). No data is required to be populated for the 4 th or greater foreign party.
C	G	(1)YYT Inc PO Box 23456 Washington USA (2)No value (3)No value	P	Y	No value	No values	No values	No values	No values	No values	No value
T	T	(1)TuTu Trading 8501 One Way Brixton England (2)No value (3)No value	A	Y	No value	No values	No values	No values	No values	No values	No value

3.14 Foreign Tax Determination Example 2

This table shows examples where there is NO Foreign Residency identified.

Account Type	Address Type	Address Details (3)	Entity Type	Foreign Residency Indicator	Superannuation Fund ABN	Foreign Person (3)	Foreign Person Date of Birth (3)	Foreign Country Code (3)	Foreign TIN (3)	TIN Absent (3)	Additional Foreign Parties
S	No value	No values	No value	No value	346678009005	No values	No values	No values	No values	No values	No value
I	R	(1) Mr B. Grete 18 Muru Ave Dubbo NSW Australia	No value	N	No value	No values	No values	No values	No values	No values	No value
J	R	(1)Mrs B. Ushen 342 Air Ave Picton NSW Australia (2) Ms. L. Jitty 7 Poy Lane Picton NSW Australia (3) Mr. J. Duton 81a Ret Road Picton NSW Australia	No value	N	No value	No values	No values	No values	No values	No values	N
C	G	(1)YYT Inc PO Box 23456 Sydney Australia	P	N	No value	No values	No values	No values	No values	No values	No value
T	T	(1)TuTu Trading 8501 One Way Melbourne Australia	A	N	No value	No values	No values	No values	No values	No values	No value

3.15 CHES 518 Rejections

The following tables highlight new and modified CHES 518 rejections.

New
06600 ADDITIONAL PARTIES FLAG ONLY RELATES TO JOINT ACCOUNTS
06627 MUST SUPPLY TAX RESIDENCY COUNTRY CODE
06643 TRANSACTION ID MUST BE SUPPLIED
06644 TIN NOT SUPPLIED - REASON MUST BE PROVIDED
06645 INVALID ACCOUNT TYPE
06646 VALID ENTITY TYPE MUST BE PROVIDED
06647 INCOMPLETE TAX STATUS DETAILS
06648 ADDITIONAL PARTIES = Y WHEN MORE THAN 3 PARTIES ARE REPORTABLE
06649 A VALID SUPER FUND ABN MUST BE SUPPLIED
06650 INVALID COUNTRY CODE
06652 FOREIGN TAX STATUS DETAILS MUST BE SUPPLIED
06653 INCOMPLETE FOREIGN TAX STATUS DETAILS
06654 APPLICATION HIN MUST BE SUPPLIED
06655 TIN-ABSENT NOT REQUIRED WHEN TIN IS SUPPLIED
06658 ADDRESS TYPE INVALID FOR ENTERED ACCOUNT TYPE
06659 ADDRESS DETAILS MUST BE SUPPLIED
06660 DATE OF BIRTH NOT REQUIRED FOR THIS INVESTOR TYPE
06661 ENTITY TYPE INCOMPATIBLE WITH ACCOUNT TYPE
06662 INVALID ADVISOR MOBILE NUMBER
06663 INVALID INVESTOR MOBILE NUMBER
06665 INVALID INVESTOR EMAIL ADDRESS
06666 HOLDING MUST HAVE NON-ZERO BALANCE
06667 BANK ACCOUNT DETAILS NOT COMPATIBLE WITH DRP PREFERENCE
06668 FUND CODE MUST BE SAME AS THAT FOR LINKED TRANSACTION
06669 HIN NOT CONSISTENT WITH LINK TRANSACTION DETAILS
06670 FOREIGN RESIDENCY INDICATOR MUST BE Y OR N
06671 ORIGIN TRANSACTION ID DOES NOT REFERENCE A COMPLETE MESSAGE
06673 FOREIGN RESIDENT DETAILS NOT REQUIRED FOR THIS ACCOUNT TYPE
06674 AUSTRALIA IS NOT A FOREIGN COUNTRY
06675 FOREIGN RESIDENT DETAILS ARE REQUIRED FOR THIS ACCOUNT TYPE
06676 ONLY FIRST INSTANCE OF FOREIGN DETAILS REQUIRED FOR INDIVIDUAL
06677 ABN NOT VALID FOR THIS ACCOUNT TYPE
06678 INVALID REASON FOR ABSENCE OF TIN
06679 FOREIGN RESIDENCY INDICATOR NOT REQUIRED FOR SUPER FUND
06680 FOREIGN RESIDENCY DETAILS NOT CONSISTENT WITH FOREIGN PERSON
06681 ONLY THE ABN SHOULD BE SUPPLIED FOR ACCOUNT TYPE S
06682 UNITS REQUIRED FOR PART TRANSFER
06683 UNITS NOT REQUIRED FOR FULL TRANSFER
06684 FULL TRANSFER MUST BE Y OR N
06685 CANNOT SUPPLY TAX DEDUCTED WITH NETT
06686 DUPLICATE TIN NOT ALLOWED
06687 MESSAGE SET ALREADY CANCELLED
06688 ADDITIONAL PARTIES CANNOT BE Y WHEN FOREIGN RESIDENCY IS N
06689 RECEIVING HIN MUST BE SPONSORED
06690 INITIAL APPLICATION MUST BE Y WHERE TRANSACTIONS ARE LINKED

Previous	Modified/Reused for CHES 10 Release
01150 TAX FILE NUMBER / ABN MUST BE PRESENT	01150 TAX FILE NUMBER/ABN MUST BE PRESENT
06127 INVALID INVESTOR TYPE IN TAXFILE NUMBER	06127 INVALID INVESTOR TYPE IN TAX FILE NUMBER/ABN
06137 TFN/ABN MUST BE LEFT JUSTIFIED	06137 TAX FILE NUMBER/ABN MUST BE LEFT JUSTIFIED
06401 CANNOT HAVE BOTH HIN AND SRN	06401 TAX DEDUCTED MUST BE GREATER THAN ZERO WHEN UNITS > ZERO
06491 ALL CITIZENSHIP AND TAX RESIDENCY FIELDS MUST BE ENTERED	06491 FEES MUST BE PRESENT WHEN UNITS > ZERO
06547 INVALID DEALER GROUP ADVISOR EMAIL	06547 INVALID INITIAL APPLICATION FLAG
06629 CONTROLLING FOREIGN PERSON FLAG MUST BY Y OR N	06629 FOREIGN PERSON INDICATOR MUST BY Y OR N

