



**CHES Release 10.0**

**Business and Technical Specification**

ASX mFund Enhancements  
CHES 10

Version: 1.0  
Publication Date: 1 February 2018  
Property of: ASX Operations Pty Limited

## Contents

<b>1</b>	<b>Acronym Glossary.....</b>	<b>4</b>
<b>2</b>	<b>Introduction.....</b>	<b>5</b>
2.1	Background.....	5
2.2	Consultation .....	5
2.3	Scope of Enhancements .....	6
2.3.1	Foreign Tax Status Determination .....	6
2.3.2	Investor Details.....	6
2.3.3	Annual Income Statements .....	7
2.3.4	SRN Removal.....	7
2.3.5	Fund Transfer.....	7
2.3.6	Unit Adjustment .....	7
2.4	Testing .....	8
2.5	Implementation Date .....	8
2.6	Parties Impacted by this Change .....	8
2.7	Next Steps .....	8
2.8	Contacting ASX – CHES mFund Enhancements .....	8
<b>3</b>	<b>Overview of CHES mFund Enhancements.....</b>	<b>9</b>
3.1	Application Request Impact .....	9
3.2	Foreign Tax Status Determination.....	13
3.3	Investor Details.....	15
3.4	Annual Income Statements .....	17
3.5	SRN Removal .....	18
3.6	Fund Transfer .....	20
3.7	Unit Adjustment .....	22
3.8	CHES .....	23
3.8.1	Application Request Impact.....	23
3.8.2	Foreign Tax Status Enhancements.....	25
3.8.3	Investor Details Enhancements .....	28
3.8.4	Annual Income Statements .....	30
3.8.5	SRN Removal.....	31
3.8.6	Fund Transfer.....	33
3.8.7	Unit Adjustment .....	35
3.9	CHES Messages.....	36
3.9.1	Issuer Sponsored Fund to CHES Conversion Request [718-02] .....	36
3.9.2	Issuer Sponsored Fund to CHES Conversion Authorisation Request [719-02] .....	37
3.9.3	Accepted Participant Request [720-01].....	38
3.9.4	Application Request [726-02].....	39
3.9.5	Application Order Request [727-02].....	40
3.9.6	Application Order/Payment Plan Application Response [729-01] .....	41
3.9.7	Effected Application Order/Payment Plan Application Response [730-01] .....	42
3.9.8	Unit Adjustment [732-02].....	44
3.9.9	Effected Fund Unit Adjustment [733-02] .....	45
3.9.10	Foreign Tax Status [735-01].....	46
3.9.11	Foreign Tax Status Details [736-01] .....	49
3.9.12	Investor Details [737-01] .....	51
3.9.13	Participant Investor Details [738-01].....	53
3.9.14	Cancelled Fund Application Request [740-01] .....	55
3.9.15	Redemption Request [800-02] .....	56
3.9.16	Redemption Order Request [801-02] .....	57
3.9.17	Redemption Order Response [802-01].....	58
3.9.18	Effected Redemption Order Request [803-01].....	60

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3.9.19	Switch Request [806-02].....	61
3.9.20	Switch Order Request [807-02] .....	62
3.9.21	Switch Order Response [808-01] .....	63
3.9.22	Effected Switch Order Request [809-01] .....	64
3.9.23	Unit Reversal Notification [845-01] .....	66
3.9.24	Effected Unit Reversal Notification [846-01] .....	67
3.9.25	CHES to CHES Fund Transfer Request [851-01] .....	68
3.9.26	Effected Fund Transfer [852-01].....	69
3.9.27	Registry Income Statement Part A [957-01] .....	70
3.9.28	Participant Income Statement Part A [962-01] .....	71
3.9.29	Registry Income Statement Part C NA [967-02] .....	72
3.9.30	Participant Income Statement Part C NA [972-02].....	73
3.10	CHES Field Definitions .....	74
3.11	Foreign Tax Determination Matrix.....	79

# 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.

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 request. Foreign tax status may also be sent to update existing foreign tax status details or to support a transfer request.

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 any 'Initial' mFund application request. Investor details may also be sent to update existing investor details or to support a 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.

### 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. This function will allow full or partial (Number of Units) to be transferred.

To ensure that the PISP/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 CHESS Release Test Environment (RTE) will be made available on a date detailed in the Project Timeline on the CHESS Release 10 website.

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

Note that ASX Participants, registries, PISPs and CHESS ISVs must develop optional fields within mandatory messages.

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

## 2.5 Implementation Date

CHESS Release 10.0 will be effective on a date detailed in the Project Timeline on the CHESS Release 10 website.

## 2.6 Parties Impacted by this Change

mFund specific ASX Participants, registries, PISPs and CHESS 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 – CHESS mFund Enhancements

For information regarding CHESS Release 10.0 please contact: [CHESS10@asx.com.au](mailto:CHESS10@asx.com.au)



## 3 Overview of CHESS mFund Enhancements

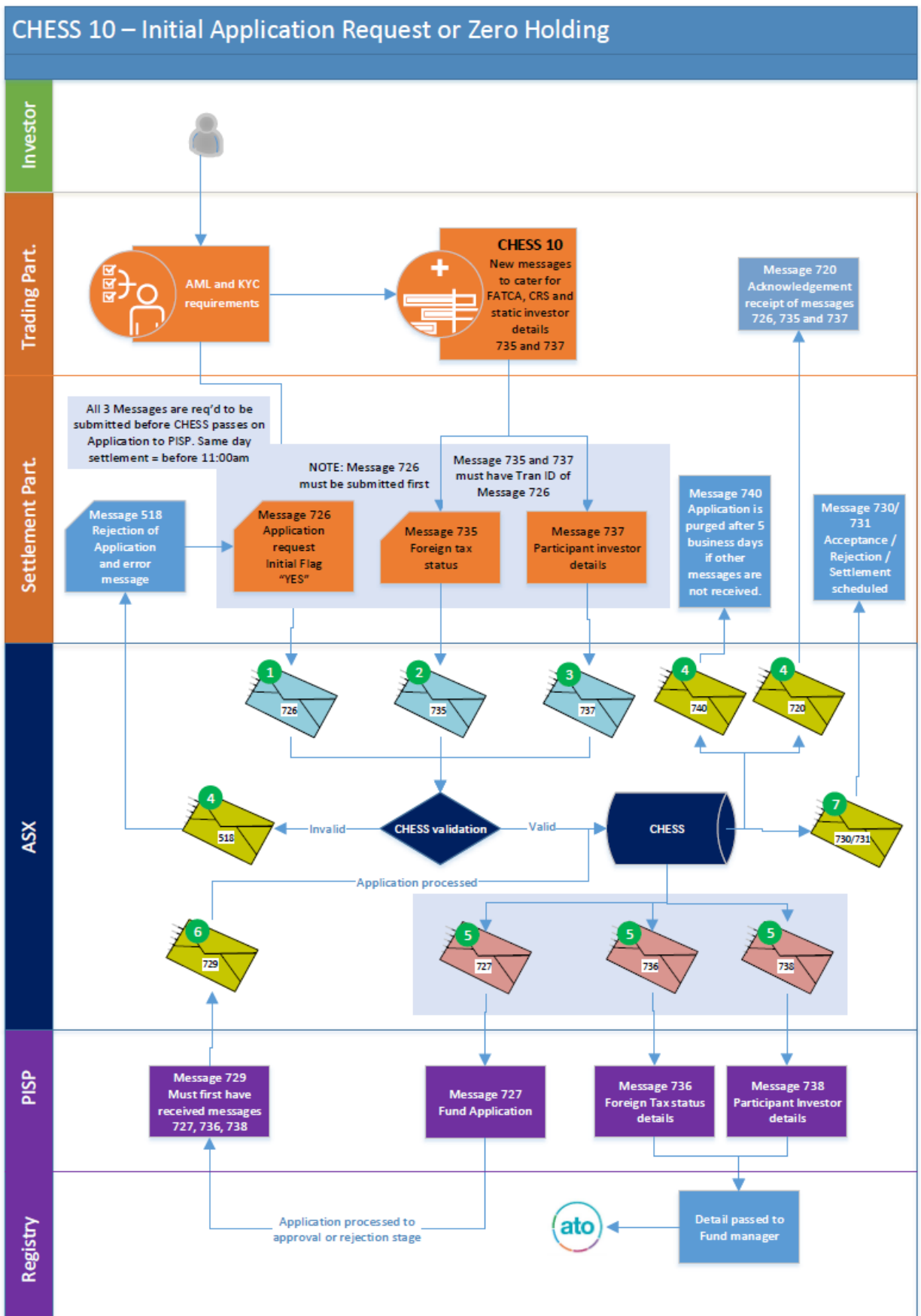
### 3.1 Application Request Impact

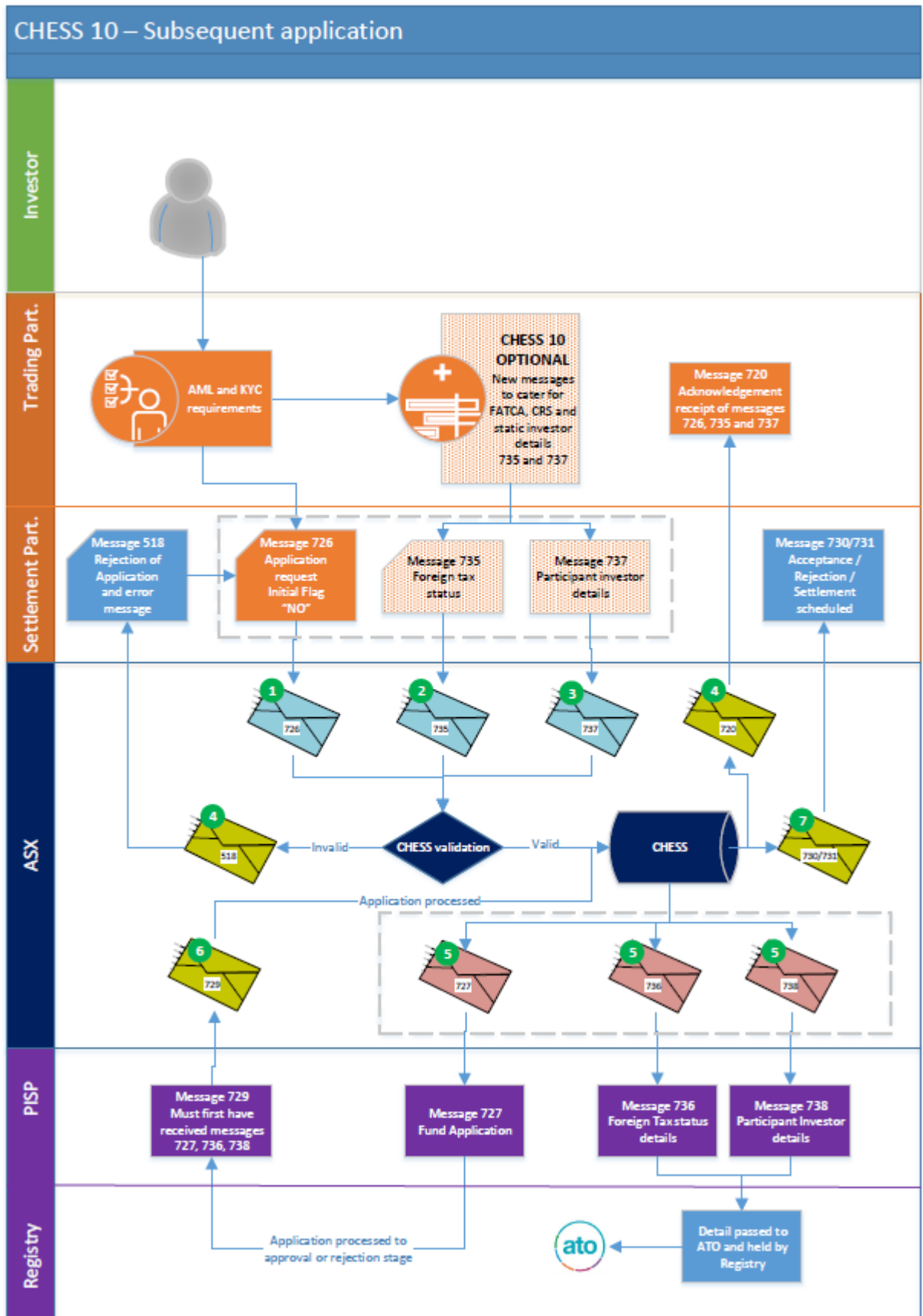
The existing application request process is based on a Participant sending a single CHESS message request (MT726) through to CHESS and on to the PISP for acceptance or rejection. This process will remain in place for 'Subsequent' application requests only. In the case of an 'Initial' application request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

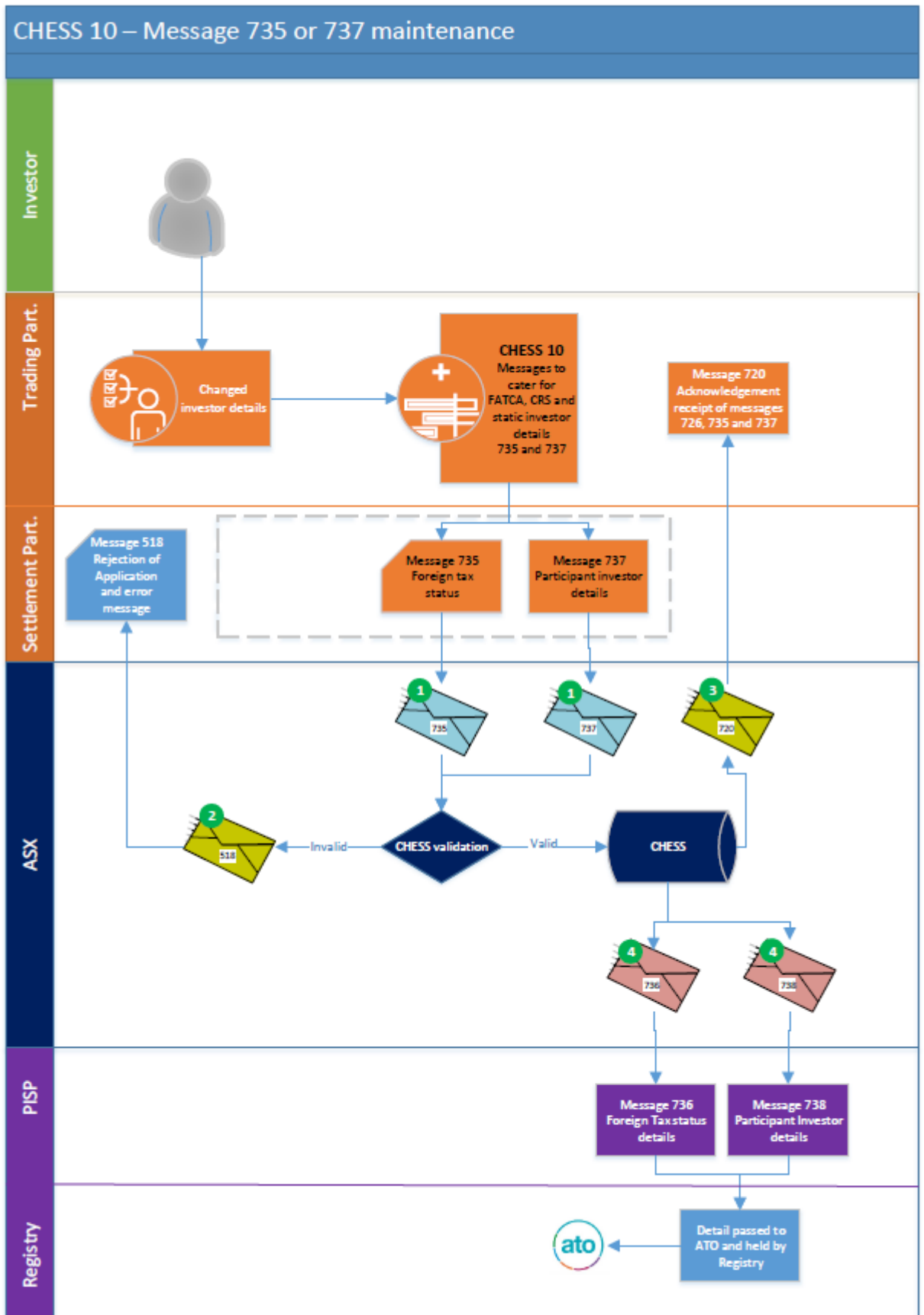
Due to the impact of changes to the application process for 'Initial' application requests, the *Fund Settlement Cut-Off* time will be changed to 11:00am (EST) from the current 11:15 (EST). This will extend the window for PISPs to respond to requests.

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 3 workflow diagrams included below:

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. Where either the Foreign Tax Status or Investor Details message suites are used to maintain existing details.









### 3.2 Foreign Tax Status Determination

<b>Impacted Parties</b>	Mandatory for mFund ASX Participants (as HIN sponsor), Registries, PISPs, CHES ISVs.
<b>Impacted Products</b>	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
<b>Description</b>	<p>mFund sponsoring Participants will determine the foreign tax status of all new and, if required, existing sponsored investors, and submit this data as part of any application request or to update an existing foreign tax status via a new message suite.</p> <p>When supplied with an 'Initial' application request, it is important to note that the following messages are provided in the order shown to ensure that the application has the appropriate supporting data to be accepted by the PISP/registry:</p> <ol style="list-style-type: none"> <li>1 MT726 Application Request</li> <li>2 MT735 Foreign Tax Status</li> <li>3 MT737 Investor Details</li> </ol> <p>CHES will only forward an 'Initial' application request through to the PISP where all 3 messages have been provided. Refer 3.8.1.</p> <p>For both application requests and standalone updates to foreign tax details, CHES will validate that an accepted MT726 Application Request has previously been received, if not, the MT735 Foreign Tax Status will be rejected. The validation is based on transaction IDs within the message.</p> <p>Where an MT735 is not received by the PISP/registry to support an application, the PISP/registry may reject the request via the MT729 Application Order Response. Additional rejection reasons are available.</p> <p>For the new CHES to CHES transfer function, the Linking Transaction Id value for the supporting MT735 Foreign Tax Status must equal the Transaction Id of the MT851 CHES to CHES Fund Transfer message.</p> <p>For mFund sponsoring Participants, registries and PISPs; a new CHES message suite will be created specifically to accommodate foreign tax details; a number of existing CHES message fields in various messages, currently used for 'FATCA Questions' and 'Tax Residence', will be removed.</p> <p>Foreign tax status details will NOT be stored by CHES.</p>
<b>Likely Impact</b>	<p><b>Considerations</b></p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> <li>• Potential changes to new CHES sponsored client on-boarding process.</li> <li>• 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.</li> <li>• For an application request or as a standalone request to update existing details, the Transaction ID of the most recent MT726 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.</li> <li>• 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.</li> </ul>

	<p>PISPs/Registries:</p> <ul style="list-style-type: none"> <li>• Where an ‘Initial’ application request is processed, acceptance of the request must be based on receipt and acceptance of both foreign tax status and investor details.</li> <li>• Changes to processes for PISPs and registries that support issuers’ products requiring foreign tax status determination.</li> </ul> <p><b>ASX Rules</b></p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate foreign tax status changes as required.</p> <p><b>ASX Documentation</b></p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p><b>CHES PC</b></p> <p>CHES PC will be upgraded for all new and modified CHES fields and messages.</p> <p><b>New Messages</b></p> <p>MT735 Foreign Tax Status          MT736 Foreign Tax Status Details</p> <p><b>Modified Messages</b></p> <p>MT718 Issuer Sponsored to Fund CHES Conversion Request          MT719 Issuer Sponsored to Fund 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 <a href="#">3.8.2 Foreign Tax Status Enhancements</a></p> <p>Refer <a href="#">3.9 CHES Messages</a></p> <p>Refer <a href="#">3.10 CHES Field Definitions</a></p> <p>Refer <a href="#">3.11 Foreign Tax Determination Matrix</a></p>


### 3.3 Investor Details

<b>Impacted Parties</b>	Mandatory for mFund ASX Participants, Registries, PISPs, CHES ISVs.
<b>Impacted Products</b>	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
<b>Description</b>	<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 in the order shown to ensure that the application has the appropriate supporting data to be accepted by the PISP/registry:</p> <ol style="list-style-type: none"> <li>1 MT726 Application Request</li> <li>2 MT735 Foreign Tax Status</li> <li>3 MT737 Investor Details</li> </ol> <p>CHES will only forward an ‘Initial’ application request through to the PISP where all 3 messages have been provided. Refer 3.8.1.</p> <p>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. The validation is based on transaction IDs within the message.</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>
<b>Likely Impact</b>	<p><b>Considerations</b></p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• For an application request or as a standalone request to update existing details, the Transaction ID of the originating or most recent MT726 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.</li> <li>• 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.</li> </ul> <p>PISPs/Registries:</p> <ul style="list-style-type: none"> <li>• Where an ‘Initial’ application request is processed, acceptance of the request must be based on receipt of both foreign tax status and investor details.</li> </ul> <p><b>ASX Rules</b></p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate investor details changes as required.</p>

	<p><b>ASX Documentation</b></p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p><b>CHES PC</b></p> <p>CHES PC will be upgraded for all new and modified CHES fields and messages.</p> <p><b>New Messages</b></p> <p>MT737 Investor Details          MT738 Participant Investor Details</p> <p><b>Modified Messages</b></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>3.8.3 Investor Details Enhancements</i></p> <p>Refer <i>3.9 CHES Messages</i></p> <p>Refer <i>3.10 CHES Field Definitions</i></p>




### 3.4 Annual Income Statements

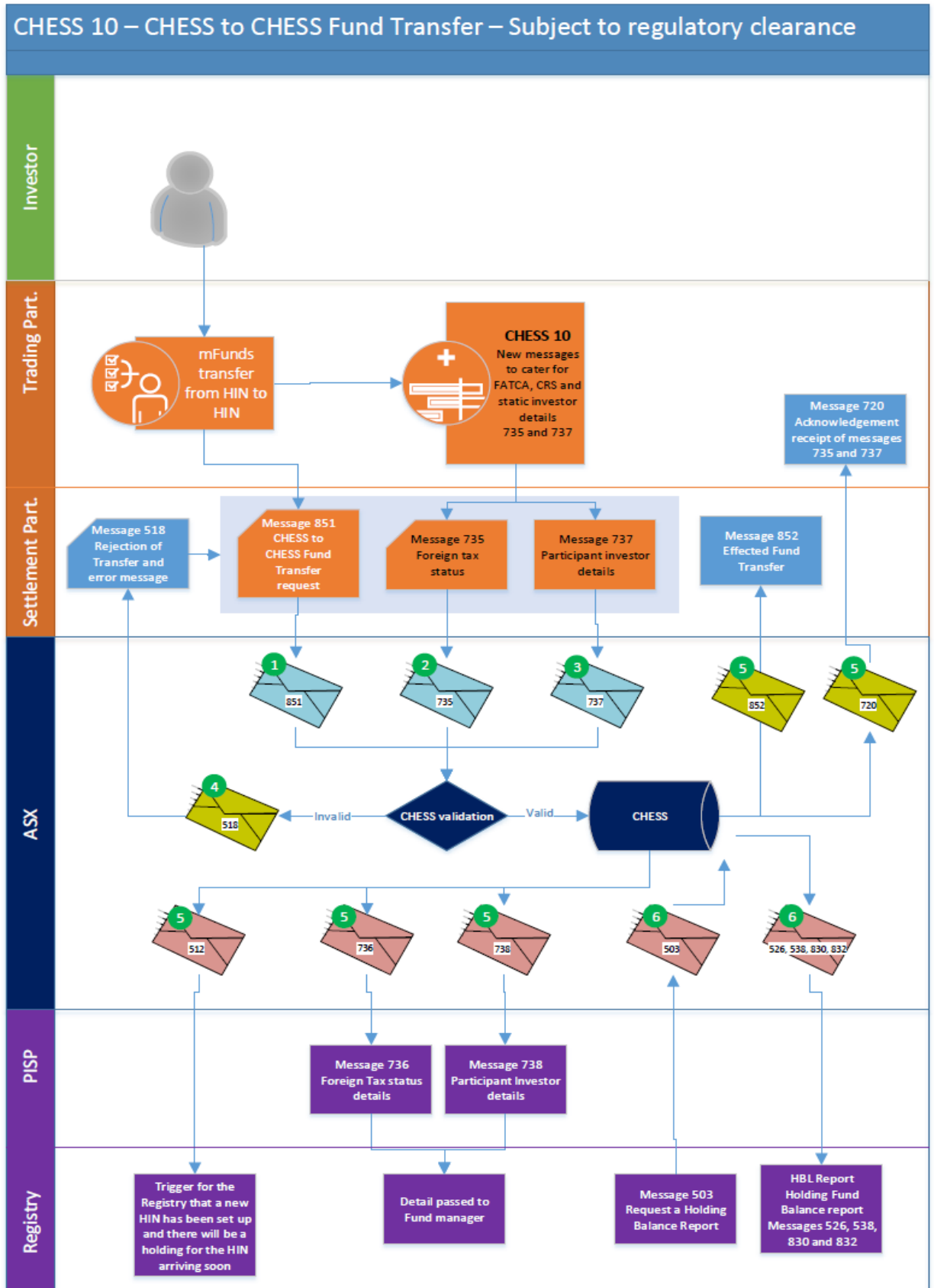
<b>Impacted Parties</b>	Mandatory for mFund ASX Participants (as HIN sponsor), Registries, PISPs, CHES ISVs that have previously included the Annual Income Statement Function.
<b>Impacted Products</b>	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
<b>Description</b>	<p>The 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:</p> <p><i>NA Tax Free Amounts Cash</i>  <b>and</b>                  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>
<b>Likely Impact</b>	<p><b>ASX Documentation</b></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><b>CHES PC</b></p> <p>CHES PC will be upgraded for modified CHES fields and field names.</p> <p><b>Modified Messages</b></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 3.8.4 <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

<b>Impacted Parties</b>	Mandatory for mFund ASX Participants, Registries, PISPs, CHES ISVs.
<b>Impacted Products</b>	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
<b>Description</b>	<p>Existing CHES mFund functions that include specific issuer sponsored SRN functionality will see this functionality discontinued. This does not apply to Conversion functionality where the ability to convert between registers will be maintained.</p> <p>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>
<b>Likely Impact</b>	<p><b>Considerations</b></p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> <li>Only participant sponsored HINs will be catered for.</li> </ul> <p>PISP:</p> <ul style="list-style-type: none"> <li>On the MT727 Application Order Request the HIN Registration Details will be provided.</li> </ul> <p><b>ASX Rules</b></p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate changes as required.</p> <p><b>ASX Documentation</b></p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p><b>CHES PC</b></p> <p>CHES PC will be upgraded for modified CHES messages.</p> <p><b>New Messages</b></p> <p>None</p> <p><b>Modified Messages</b></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          MT845 Unit Reversal Notification</p>


	MT846 Effected Unit Reversal Notification
	<p>Refer <i>3.8.5 SRN Removal</i></p> <p>Refer <i>3.9 CHES Messages</i></p> <p>Refer <i>3.10 CHES Field Definitions</i></p>

### 3.6 Fund Transfer



<b>Impacted Parties</b>	Mandatory for mFund ASX Participants, Registries, PISPs, CHES ISVs.
<b>Impacted Products</b>	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
<b>Description</b>	<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>The transfer request will be actioned by CHES and will not be informed directly to the PISP/Registry prior to processing. The Registry will be informed that a new holding for a HIN is imminent, along with the requisite foreign tax status and investor details. This will ensure that when the registry processes requested CHES reporting, that 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>
<b>Likely Impact</b>	<p><b>Considerations</b></p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> <li>• Only HINS controlling by the same participant may be transferred.</li> <li>• Full or partial holdings for a HIN/Fund may be transferred.</li> </ul> <p>PISP:</p> <ul style="list-style-type: none"> <li>• Transfer details for the reconciliation of holdings is only available via CHES reporting and may be requested by the registry and the participant.</li> </ul> <p><b>ASX Rules</b></p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate changes as required.</p> <p><b>ASX Documentation</b></p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p><b>CHES PC</b></p> <p>CHES PC will be upgraded for new and modified CHES messages.</p> <p><b>New Messages</b></p> <p>MT735 Foreign Tax Status          MT736 Foreign Tax Status Details          MT737 Investor Details          MT738 Participant Investor Details          MT851 CHES to CHES Fund Transfer Request          MT852 Effected Fund Transfer</p> <p><b>Modified Messages</b></p> <p>MT720 Accepted Participant Request (Pre-Requisites modified)</p>
	<p>Refer <a href="#">3.8.6 Fund Transfer</a></p> <p>Refer <a href="#">3.9 CHES Messages</a></p> <p>Refer <a href="#">3.10 CHES Field Definitions</a></p>

### 3.7 Unit Adjustment

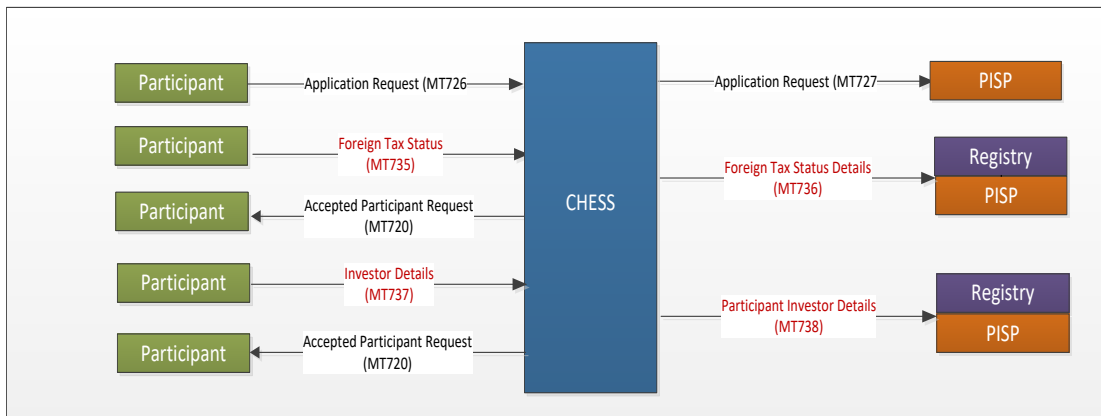
<b>Impacted Parties</b>	Mandatory for mFund ASX Participants, Registries, PISPs, CHES ISVs.
<b>Impacted Products</b>	ASX mFund securities, specifically Security Types 35, 38, 55, 56, 57, 58.
<b>Description</b>	The existing CHES mFund messages that convey adjustments to unit (holding) quantity will be 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.
<b>Likely Impact</b>	<p><b>Considerations</b></p> <p>Sponsoring participants:</p> <ul style="list-style-type: none"> <li>Only participant sponsored HINs will be catered for.</li> </ul> <p>PISP:</p> <ul style="list-style-type: none"> <li>On the MT727 Application Order Request the HIN Registration Details will be provided.</li> </ul> <p><b>ASX Rules</b></p> <p>The ASX Settlement Rules and Procedures will be amended to incorporate changes as required.</p> <p><b>ASX Documentation</b></p> <p>The <i>CHES External Interface Specification (EIS)</i> and <i>ASX Settlement Procedure Guidelines (APG)</i> will be updated.</p> <p><b>CHES PC</b></p> <p>CHES PC will be upgraded for modified CHES messages.</p> <p><b>New Messages</b></p> <p>None</p> <p><b>Modified Messages</b></p> <p>MT732 Application Request          MT733 Application Order Request</p>
	<p>Refer <a href="#">3.8.7 Unit Adjustment</a></p> <p>Refer <a href="#">3.9 CHES Messages</a></p> <p>Refer <a href="#">3.10 CHES Field Definitions</a></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.



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

- 1 MT726 Application Request
- 2 MT735 Foreign Tax Status
- 3 MT737 Investor Details

Conversely, the PISP should respond in the same sequence on receipt of:

- 1 MT727 Application Order Request
- 2 MT736 Foreign Tax Status Details
- 3 MT738 Participant 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. In instances where all 3 messages are not provided, CHES will hold the received messages for 5 Business Days before cancelling. The requesting Participant will be notified upon cancellation via a new CHES message (refer 3.8.1.2 *Incomplete Initial Application Cancellation*). Note that ‘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 value: Initial Application, provided on the MT726 Application Request.

Additionally to aid identification of application requests, the Transaction Id of the MT726 Application Request will 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 a previously accepted application request.

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.

The introduction of additional Rejected Order Reasons within the application message suite will allow the PISP to reject applications not only for the MT727 Application Order Request itself, but also where the supporting MT738 Participant Investor Details and MT736 Foreign Tax Status Details messages have not been received.

### 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
Supplementary Reference	M	M
Transaction Id	M	M
AML/CTF Check Flag	M	M
Current PDS Provided	M	M
PDS Issue Date	M	M
Initial Application	M must be 'Y'	M must be 'N'

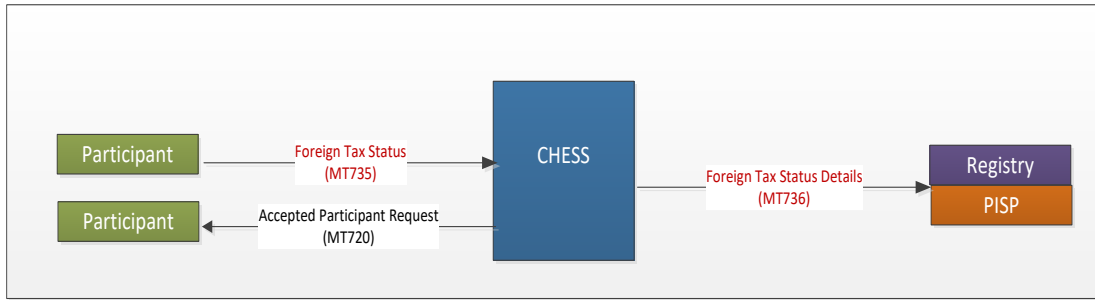
### 3.8.1.2 Incomplete Initial Application Cancellation

CHES will only forward an 'Initial' application 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 requesting Participant will be notified upon cancellation via a new CHES message.

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



### 3.8.2 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.

#### 3.8.2.1 Solution

An interim solution was introduced for mFund investors in early 2015 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 to Fund CHES Conversion Request	Participant	CHES	M
719	Issuer Sponsored to Fund CHES Conversion Authorisation Request	CHES	Registry	M
720 <sup>1</sup>	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
800	Switch Request	Participant	CHES	M
801	Switch Order Request	CHES	PISP	M

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

- MT718 Issuer Sponsored to Fund CHES Conversion Request
- MT719 Issuer Sponsored to Fund CHES Conversion Authorisation Request
- MT726 Application Request

<sup>1</sup> Prerequisite list expanded to include new message suites

- 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

### 3.8.2.2 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 CHES validations will be included:

1. The Linking Transaction Id value must already exist in CHES and be populated with either:
  - a. For applications; the Transaction ID value of the originating or the most recently accepted MT726 Application Request.
  - b. For transfers, the Transaction ID value of the MT851 CHES To CHES Fund Transfer Request.
2. Where Account Type 'S' is identified, the provision of an ABN 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 of Account Type 'J', are required:
  - a. Address Details must conform to existing CHES requirements for Registration Details. These requirements are documented in *Section 8.2* of the CHES *EIS*. 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:
    - i. Address Type 'R' (Residential) applies to Account Types 'I' and 'J'. Where Account Type 'J' is identified, the provision of Address Details apply to each party in the account and must 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 been aligned Address Details 1 and so on. Up to 3 Address Details may be included.
    - ii. Address Type 'G' (Registered) applies to Account Type 'C'.
    - iii. Address Type 'T' (Trust) applies to Account Type 'T'.
  - b. Where the 'Foreign Tax Residency' is declared as 'N' no further data is required.
  - c. 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 Code<sup>2</sup> (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 provision of foreign tax status must 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 'N' and Foreign Person 2 'Y' with supporting data populated.
    - ii. Where Account Type 'C' or 'T', no additional details are required to be provided other than Entity Type.
    - iii. Where more than 3 instances of foreign residency are identified, 'Y' must be entered in the 'Additional Foreign Parties' field to alert the registry to follow up.

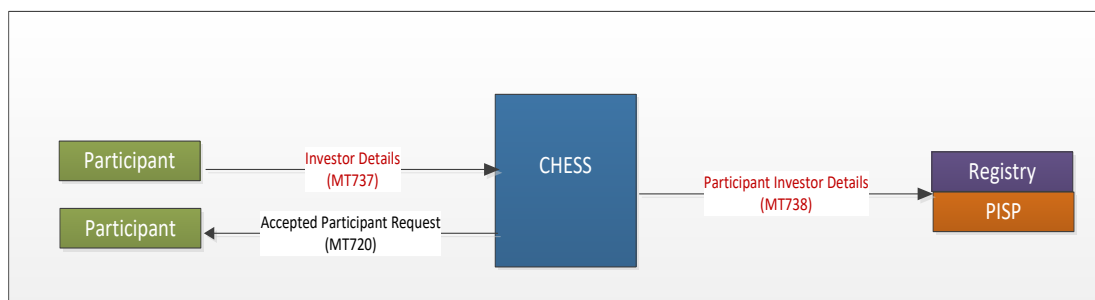
### 3.8.2.3 Approval/Rejection

CHES will reject any request that does not meet the validations outlined in *3.8.2.2 Population/Validation*.

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

<sup>2</sup> ISO Country Code AUS (Australia) may not be used

### 3.8.3 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.

#### 3.8.3.1 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 <sup>3</sup>	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

<sup>3</sup> Prerequisite list expanded to include new message suites

- MT807 Switch Order Request

### **3.8.3.2 Population/Validation**

CHES 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 CHES validations are included:

1. The Linking Transaction Id value must already exist in CHES and be populated with either:
  - a. For applications; the Transaction ID value of the originating or the most recently accepted MT726 Application Request.
  - b. For transfers, the Transaction ID value of the MT851 CHES To CHES 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'.

### **3.8.3.3 Approval/Rejection**

CHES will reject any request that does not meet the validations outlined in *3.8.3.2 Population/Validation*.

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

### 3.8.4 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.

#### 3.8.4.1 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	PISP / Registry	M (text only)
967	Registry Income Statement Part C NA	PISP / Registry	Participant	M
972	Participant Income Statement Part C NA	CHES	PISP / Registry	M

### 3.8.5 SRN Removal

Existing CHESS 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 and associated messages will be retained as these serve the purpose of providing detail regarding the source or destination holding.

#### 3.8.5.1 Solution

The following CHESS messages will be impacted:

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

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

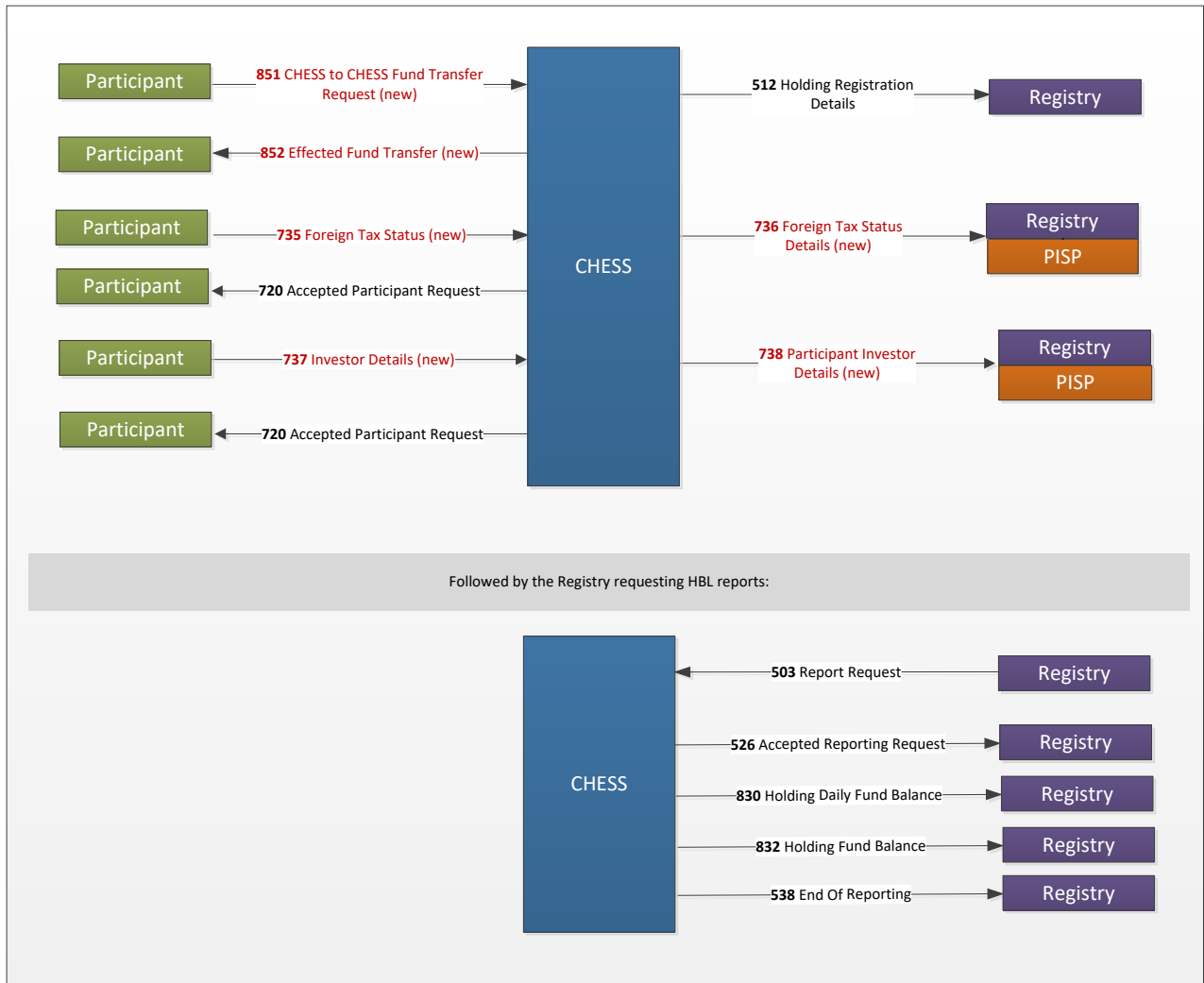
- MT726 Application Request
- MT727 Application Order Request<sup>4</sup>
- MT729 Application Order/Payment Plan Application Response
- MT730 Effected Application Order/Payment Plan Application Response
- MT800 Redemption Request
- MT801 Redemption Order Request
- MT802 Redemption Order Response
- MT803 Effected Redemption Order Request
- MT806 Switch Request
- MT807 Switch Order Request
- MT808 Switch Order Response
- MT809 Effected Switch Order Request

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

- MT845 Unit Reversal Notification
- MT846 Effected Unit Reversal Notification



### 3.8.6 Fund Transfer



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 actioned by CHES and will not be informed directly to the PISP/Registry prior to processing. The Registry will be informed that a new holding for a HIN is imminent, along with the requisite foreign tax status and investor details. This will ensure that when the registry processes requested CHES reporting, that the receiving HIN will have all the required data and controls for that holding.

The CHES 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 CHES messages will be introduced:

Message No	Description	Sender	Recipient	New/Modified
720 <sup>5</sup>	Accepted Participant Request	CHES	Participant	M
735	Foreign Tax Status	Participant	CHES	N
736	Foreign Tax Status Details	CHES	PISP / Registry	N
737	Investor Details	Participant	CHES	N
738	Participant Investor Details	CHES	PISP / Registry	N
851	CHES to CHES Fund Transfer	Participant	CHES	N
852	Effected Fund Transfer	CHES	Participant	N

**3.8.6.1 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. Where Full Transfer is 'N', Number of Units must be included.

**3.8.6.2 Approval/Rejection**

CHES will reject any request that does not meet the validations outlined in 3.8.6.1 *Population/Validation*.

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<sup>5</sup> Prerequisite list expanded to include new message suites

### 3.8.7 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.

#### 3.8.7.1 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

**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

### 3.9.4 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 in the order shown 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

### 3.9.5 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



### 3.9.6 Application Order/Payment Plan Application Response [729-01]

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	10 Numeric	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	13 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

### 3.9.7 Effected Application Order/Payment Plan Application Response [730-01]

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 CHESS by the Product Issuer Settlement Participant

**Sender:** CHESS

**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	10 Numeric	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	13 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

### 3.9.8 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	1 Character	O
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

### 3.9.9 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

### 3.9.10 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.

The Linking Transaction Id value must be populated with either:

- For applications: the Transaction ID value of the originating MT726 Application Request.
- For transfers: the Transaction ID value of the MT851 CHES to CHES Fund Transfer Request.
- For maintenance: the Transaction ID value of the most recently accepted MT726 Application Request.

As an Account Type of ‘S’ (Superannuation Fund) is not reportable, where ‘S’ is identified, no further data is required other than to provide the appropriate ABN.

For all other Account Types, Address Type and Address Details must be provided regardless of foreign residency:

- Residential address where Account Type ‘I’ (Individual) or ‘J’ (Joint). Note that for ‘J’ Address Details for each party to the account must be provided (up to 3 instances available)
- Registered address where Account Type ‘C’ (Company)
- Trust address where Account Type ‘T’ (Trust)

and the Foreign Residency Indicator must be populated. A value of ‘Y’ highlights that the HIN has foreign persons or foreign related persons (directors, partners or beneficial owners)

and at least one instance of:

- Foreign Person (n)

and for Account Types ‘I’ (Individual) and ‘J’ (Joint) the following must be populated:

- Foreign Person Date of Birth (n)
- Foreign Country Code (nn)
- Foreign TIN (nn) or TIN Absent (nn)
  - Where no TIN is supplied a reason code must be provided (TIN Absent (nn))

and for Account Types ‘C’ (Company) and ‘T’ (Trust), an Entity Type must 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 Numeric	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

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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, advisable to transmit in concert with 726 Application Request and 737 Investor Details.



### 3.9.11 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 Numeric	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.

### 3.9.12 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 CHES 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 CHES to CHES HIN transfer is requested.

The Linking Transaction Id value must be populated with either:

- For applications: the Transaction ID value of the originating MT726 Application Request.
- For transfers: the Transaction ID value of the MT851 CHES to CHES Fund Transfer Request.
- For maintenance: the Transaction ID value of the most recently accepted MT726 Application Request.

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

**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
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	Dealer Group 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
218	Participant Advisor Name	30 Character	O
219	Participant Advisor Code	30 Character	O
240	Participant Advisor Email	50 Character	O
243	Dealer Group Advisor Email	50 Character	M
245	APIR Code	9 Character	O
247	Dealer Group Name	30 Character	M
248	Dealer Group Advisor Name	30 Character	M
249	Dealer Group Advisor Code	30 Character	M

**Transmission Cut off times:** None

**Prerequisites:** If conveyed for an initial mFund investor application, advisable to transmit in concert with a 726 Application Request.

### 3.9.13 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	Dealer Group 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
218	Participant Advisor Name	30 Character	O
219	Participant Advisor Code	30 Character	O
240	Participant Advisor Email	50 Character	O
243	Dealer Group Advisor Email	50 Character	M
245	APIR Code	9 Character	O

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247	Dealer Group Name	30 Character	M
248	Dealer Group Advisor Name	30 Character	M
249	Dealer Group Advisor Code	30 Character	M

**Transmission Cut off times:** None

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

### 3.9.14 Cancelled Fund Application Request [740-01]

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

**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
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

### 3.9.15 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



### 3.9.16 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

### 3.9.17 Redemption Order Response [802-01]

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	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	10 Numeric	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
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 801 Redemption Order Request sent to the Product Issuer Settlement Participant

### 3.9.18 Effected Redemption Order Request [803-01]

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	M
16	HIN	10 Numeric	M
21	Processing Timestamp	10 Numeric	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	13 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 an 802 Redemption Order Response submitted by a Product Issuer Settlement Participant

### 3.9.19 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

### 3.9.20 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

### 3.9.21 Switch Order Response [808-01]

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	M
10	Application Fund Code	12 Character	M
16	HIN	10 Numeric	M
20	PID	5 Numeric	M
21	Processing Timestamp	10 Numeric	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

### 3.9.22 Effected Switch Order Request [809-01]

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	M
10	Application Fund Code	12 Character	M
16	HIN	10 Numeric	M
21	Processing Timestamp	10 Numeric	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



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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 Participan

### 3.9.23 Unit Reversal Notification [845-01]

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	10 Numeric	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

### 3.9.24 Effected Unit Reversal Notification [846-01]

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	10 Numeric	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

### 3.9.25 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 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
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

### 3.9.26 Effected Fund Transfer [852-01]

The purpose of this message is to notify a Participant that a transfer of fund units has been effected between 2 CHES holdings (HIN) under the control of the same Participant (PID).

**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
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
70	Registry Reference	16 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 851 CHES to CHES Fund Transfer Request

### 3.9.27 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
20	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

### 3.9.28 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

### 3.9.29 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
20	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



### 3.9.30 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 CHES Field Definitions

New CHES message field definitions are included here. All existing CHES message field definitions are documented in the CHES 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 *Section 8.2* of the *EIS*.

#### 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 *Section 8.2* of the *EIS*.

#### 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 *Section 8.2* of the *EIS*.

#### 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

#### Dealer Group Name

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

#### Dealer Group Advisor Code

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

**Dealer Group Advisor Email**

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

**Dealer Group Advisor Mobile**

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

**Dealer Group Advisor Name**

Format	30 Characters
Definition	Identifies a Dealer Group 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.

**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

**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 application request this value is the Transaction Id of the originating or most recent MT726 Application Request. 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 <i>Section 8.6</i> of the <i>EIS</i> – 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 Order Reason**

Format	5 Numeric
Definition	The reason why a message submitted to a Product Issuer Settlement Participant has been rejected.
Allowable Values	50000 Fund Amount less than minimum value 50001 Account is Closed

50002	Account is Suspended
50003	Account is Pending
50004	Fund Manager is currently not accepting Redemption Orders
50005	Account is a Deceased Estate
50006	Account does not have a Holding
50007	Account not found
50008	Invalid Fund Code
50009	Invalid Advisor
50010	Invalid Registration Details
50011	Order request cannot be accepted as AML/CTF Check Flag is not 'Y' (Yes)
50012	Issuer does not accept this request – contact Fund Manager
50013	Closed to Existing Accounts
50014	Closed to New Accounts
50015	Fund is not associated with a Product Issuer Settlement Participant
50016	Insufficient Cleared Funds
50017	Order request details differ from Product Disclosure Statement
50018	Redemption Order request exceeds allowable value
50019	Please contact your Fund Manager
50020	Order request cannot be accepted as Current PDS Provided indicator is not 'Y' (Yes)
50021	Order request will result in a below minimum investment balance
50022	Invalid address details contact Fund Manager
50023	TFN, ABN or exemption code required for Australian residents
50024	Date of Birth mandatory for individual applicants
50025	Investor Type is required to establish an account
50026	Tax Residence is mandatory for applicants
50027	DRP Preference is mandatory for an Initial Application
50028	Bank Account details are mandatory where DRP Preference = 'N' (No)
50031	PDS Issue Date supplied is not the latest issued PDS
50032	Fund Manager is currently not accepting Switch Orders

**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	

**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 <sup>1</sup>	Address Details	Entity Type <sup>2</sup>	Foreign Residency Indicator	Superannuation Fund ABN <sup>3</sup>	Foreign Person <sup>4</sup>	Foreign Person Date of Birth	Foreign Country Code <sup>5</sup>	Foreign TIN <sup>6</sup>	TIN Absent <sup>7</sup>	Comments
	3 instances provided for Account Type 'J'					3 instances provided – any additional identified Foreign Persons can be indicated by using the <b>Additional Foreign Parties</b> indicator					
								3 instances provided			
<b>S (Super Fund)</b>					Y						No foreign tax reporting implications
<b>I (Individual)</b>	Y	Y		Y		Y	Y	Y	Y	Y if no Foreign TIN	
	Y	Y		N							No foreign tax reporting implications
<b>J (Joint)</b>	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
<b>C (Company)</b>	Y	Y	Y	Y							
	Y	Y	Y	N							No foreign tax reporting implications
<b>T (Trust)</b>	Y	Y	Y	Y							
	Y	Y	Y	N							No foreign tax reporting implications

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