

# Securities Lending Reporting

Submitting Borrowed, Loaned and Committed  
Securities information via ASX Online

USER NOTES

MAY 2018



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### Overview

This guide gives an overview of the securities lending reporting facility to Participants reporting their positions on an ongoing basis.

### Contacts

For support with securities lending reporting, please contact:

T 131 ASX (131 279)

E [ASX.Online@asx.com.au](mailto:ASX.Online@asx.com.au)

Or raise a service request via Ask ASX -


<https://asxonline.com/help-and-support/raise-a-request>.

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## Introduction

### About this guide

This guide has been designed as a practical, customer reference for the ASX securities lending reporting facility within ASX Online.

 Please contact us on 131 ASX (131 279) if you have any queries regarding the content within this guide.

### Overview of the securities lending reporting facility

This service facilitates the reporting of securities lending positions directly to ASX using ASX Online.

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

- Access the Securities Lending Reporting facility
- Register and unregister your entity's intention to participate in securities lending reporting
- Submit both:
  - daily securities on loan and securities borrowed positions for each class of approved financial products
  - securities committed to a lending program for each class of approved financial products as at quarter end
- Perform a search on historical data you have submitted

## Before you begin

### Pre-requisites

Before submitting securities lending reports you will require:

1. Access to the internet via your desktop or mobile device
2. An ASX Online username and password
3. Permission applied by your Enterprise Administrator to submit / view securities lending reports
4. Your entity to be setup as a settlement participant with ASX
5. Your entity to be self-registered for securities lending reporting (see [Managing securities lending registration](#))

**i** If you do not have an ASX Online username, password or appropriate permissions applied, please contact your Enterprise Administrator or Compliance Manager.

If you do not know who your Enterprise Administrator is, please contact us on 131 ASX (131 279) or via email at [ASX.Online@asx.com.au](mailto:ASX.Online@asx.com.au).


## Understanding the securities lending reporting timeline

It is important to understand the various timelines affecting the submission and adjustment of securities lending reports. There are three key times to be aware of:

### 1. On time :

**Securities Lending Positions (Daily)** - are on time if submitted or adjusted by 9 am, two business days after the date being reported.

**Securities Committed to a Lending Program (Quarterly)** - are on time if submitted or adjusted by 9 am, on the third business day of the quarter following the quarter being reported.

 ASX considers quarters for securities lending reporting as **Q1** (Jan – Mar), **Q2** (Apr – Jun), **Q3** (Jul – Sep), **Q4** (Oct – Dec).

### 2. Late :

**Securities Lending Positions (Daily)** - reports submitted or adjusted between 9 am and 11 am, two business days after the date being reported, are still accepted however are recorded as late.

**Securities Committed to a Lending Program (Quarterly)** - reports submitted or adjusted between 9 am and 11 am, on the third business day of the quarter following the quarter being reported, are still accepted however are recorded as late.

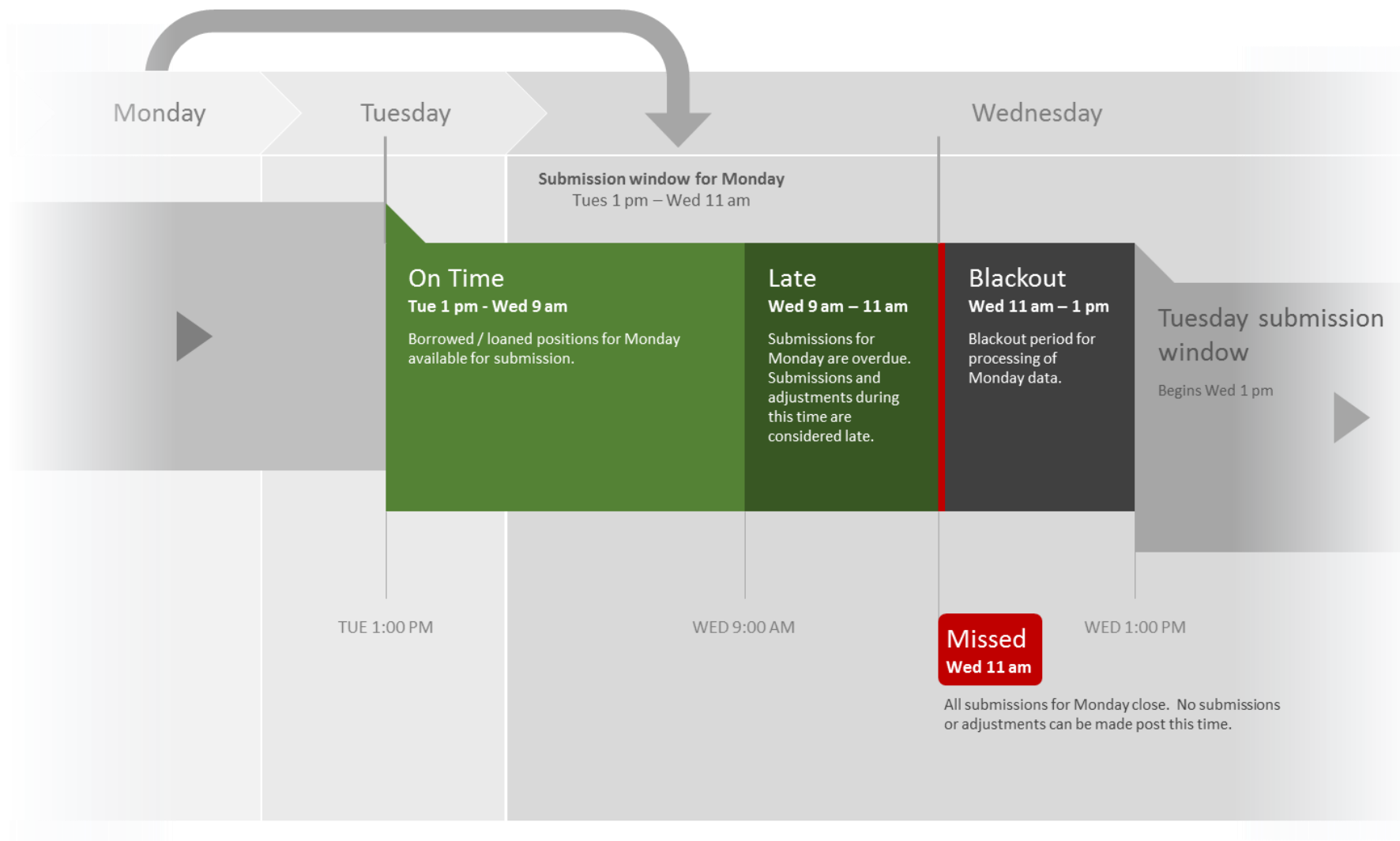
### 3. Missed :

**Securities Lending Positions (Daily)** - no further submissions or adjustments are possible post 11 am two business days after the date being reported. The cut off time is represented as red in the diagrams following.

**Securities Committed to a Lending Program (Quarterly)** - no further submissions or adjustments are possible post 11 am on the third business day of the quarter following the quarter being reported. The cut off time is represented as red in the diagrams following.

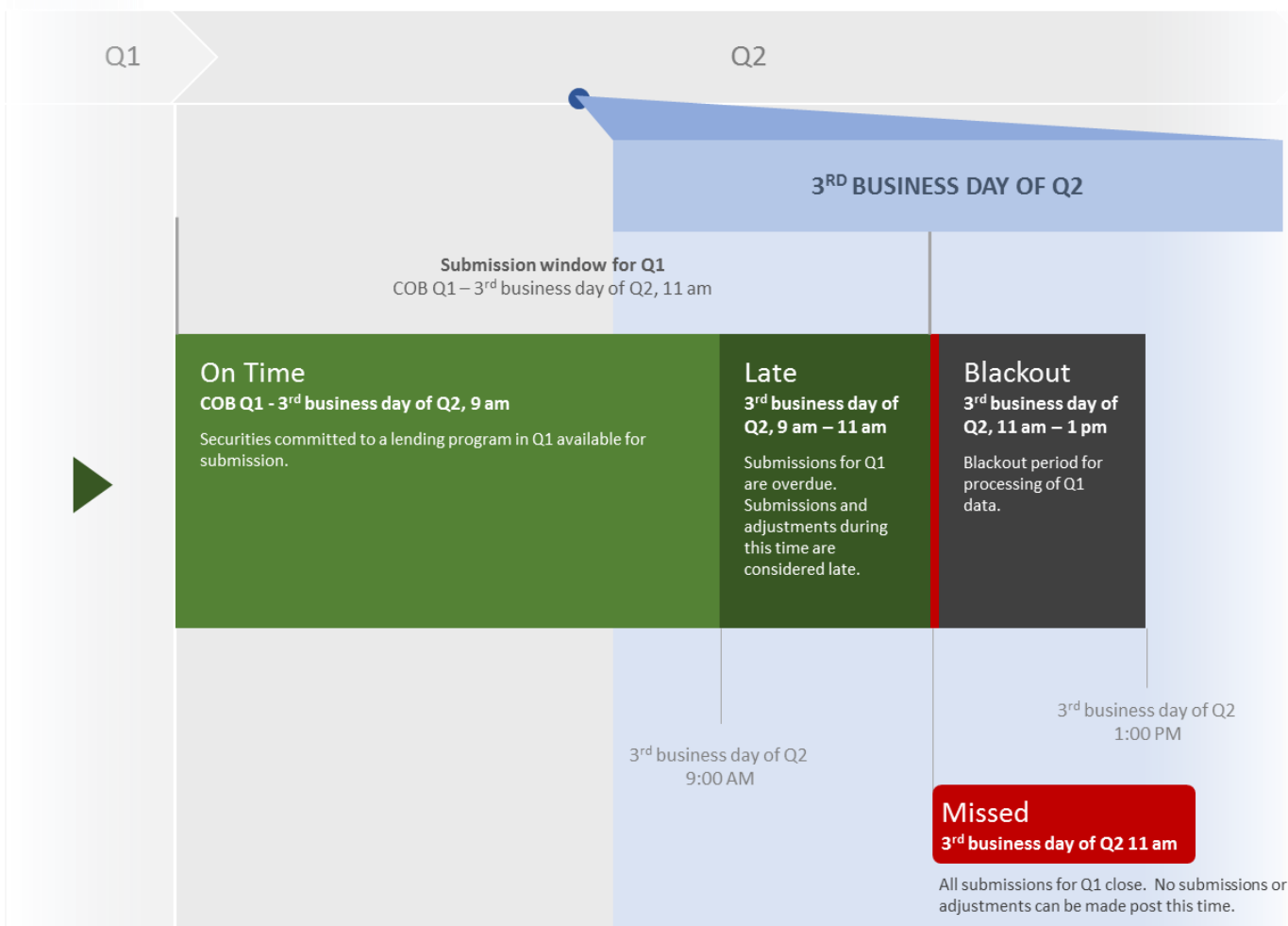
### Scenario 1 : Securities Lending Positions (Daily)

The diagram below outlines the timelines for submitting and adjusting a securities lending position (daily) report on a typical day.



### Scenario 2 : Securities Committed to a Lending Program (Quarterly)

The diagram below outlines the timings for submitting and adjusting a securities committed to a lending program (quarterly) report.



## Submitting securities lending reporting

The below steps describe the process of submitting securities lending positions and securities committed to a lending program.

**Securities Lending Positions (Daily)** - submissions to ASX happen on a **daily** basis for the purpose of reporting volume of borrowed and loaned positions.

**Securities Committed to a Lending Program (Quarterly)** - submissions to ASX happen on a **quarterly** basis for the purpose of reporting volume of each stock committed to a lending program.

**i** ASX considers quarters for securities lending reporting as **Q1** (Jan – Mar), **Q2** (Apr – Jun), **Q3** (Jul – Sep), **Q4** (Oct – Dec).

For further information on prerequisites and timelines please refer to the [Before you begin](#) section.

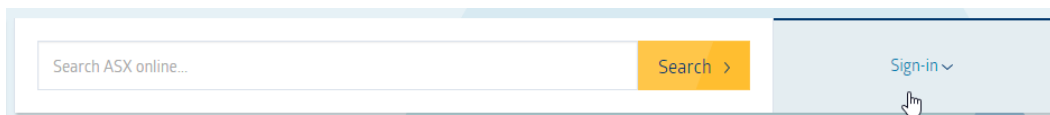
### 1. Accessing the securities lending reporting facility.

Using your web browser, navigate to <https://asxonline.com>

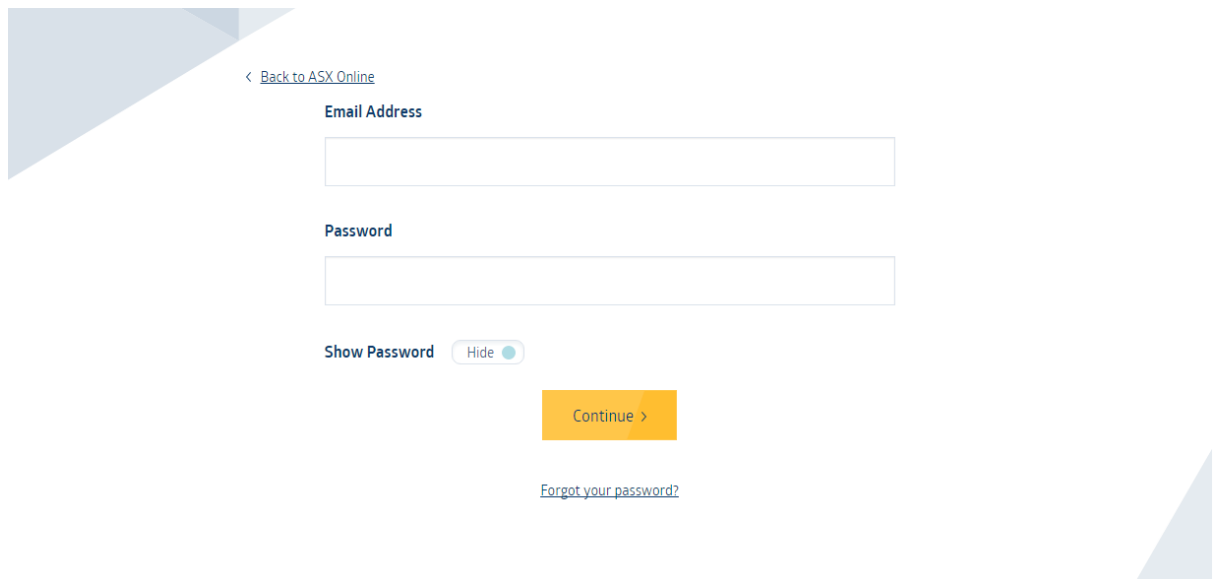
### 2. Select **Sign-in / Participant** from the top right of the dashboard and enter your username and password.

**i** If you do not have an ASX Online username, password or appropriate permissions applied, please contact your Enterprise Administrator or Compliance Manager.

If you do not know who your Enterprise Administrator is, please contact us on 131 ASX (131 279) or via email at [ASX.Online@asx.com.au](mailto:ASX.Online@asx.com.au).







The image shows a login form on the ASX Online platform. At the top left, there is a link '< Back to ASX Online'. Below this are two input fields: 'Email Address' and 'Password'. Under the password field, there is a 'Show Password' label and a 'Hide' button with a toggle switch. A yellow 'Continue >' button is positioned below the password field. At the bottom center, there is a link '< a href="#">Forgot your password?'. The form is set against a light blue background with a white border.

3. Assuming you have been setup with the correct permissions by your Enterprise Administrator, you will see the **Securities Lending Reporting** facility in the left hand navigation.



Reveal the Securities Lending Reporting options then select **Submit / update securities lending report**.



**i** You may also navigate directly to the Submit / update securities lending report page via <https://asxonline.com/securities-lending-reporting>.

4. Verify the entity name is correct.

You will see the entity name you are signed in as at the top of the page.

Securities Lending Report Upload ?

Pivot Securities

5. Select the type of securities lending report you are submitting, daily or quarterly.

**1 Select a Type of Report to Submit**

Securities Lending Reports available for you to submit

Securities Lending Positions (Reported Daily)	Securities Committed to a Lending Program (Reported Quarterly)
--	---

6. Select how you would like to enter your securities lending report.

You may choose to enter your securities lending report by:

- **Option 1** : uploading a CSV file containing the required values
- **Option 2** : manually entering the required information

You may begin submitting a report by selecting one of the options below

Upload a .CSV file	Manually Enter Data
--------------------	---------------------

## 6.1. Option 1 : uploading a CSV file containing the required values.

Select **Upload a CSV file**.

The screenshot shows a web interface with the heading "You may begin submitting a report by selecting one of the options below". There are two buttons: "Upload a .CSV file" (which is highlighted with a mouse cursor) and "Manually enter data". Below the buttons is a text input field labeled "Upload a .CSV file" with a question mark icon. Underneath is a dashed box containing a refresh icon and the text "Drag your files into this area or [browse your computer](#)".

Depending on the type of securities lending report you are submitting the format of the CSV you are uploading will vary according to the below:

### 6.1.1. Uploading a CSV for Securities Lending Positions (Daily).

Ensure your data is saved in the below format. Colours are for guidance only and are not required in your finalised CSV.

#### DAILY CSV FORMAT

**Date:** Cell A1 must be the same date as displayed on the submit / update securities lending report page. The date format must be in either *dd/mm/yyyy* or *dd/mm/yy*.

**Security code type:** Cell A2 must include the securities code type of the securities being submitted in the file. Options include one of the below:

- ISIN
- ASX\_CODE

ISIN codes will be translated into ASX Codes.

**ISIN or ASX code:** A valid ISIN or ASX code must be entered in column A, commencing at row 3.

	A	B	C	D
1	22/10/2016			
2	ASX_CODE			
3	ADP	1000	0	
4	ART	0	12338	
5	AXA	78479	0	
6	BHP	15000	500	
7	CML	1000	0	
8	CPA	0	980	
9	GAN	0	286	
10	GBT	17793	0	
11	HVN	0	7773	

**File format:** The file must be saved as a .csv. Blank lines and blank cells are not accepted.

**Borrowed volume:** Quantities must be entered in column B, commencing at row 3. Zero volumes are permitted but only where there is volume in the loaned column. Any formatting, including leading negative indicators ('-'), commas, decimals, or other characters are not accepted.

**Loaned volume:** Quantities must be entered in column C, commencing at row 3. Zero volumes are permitted but only where there is volume in the borrowed column. Any formatting, including leading negative indicators ('-'), commas, decimals, or other characters are not accepted.



- a. Drag and drop your CSV into the upload area or select **browse your computer**.
  - i. Select the required CSV file.
  - ii. Select **Open**.

This will import the data contained in the selected csv file and display it on the screen.

### 6.1.2. Uploading a CSV for Securities Committed to a Lending Program (Quarterly).

Ensure your data is saved in the below format. Colours are for guidance only and are not required in your finalised CSV.

**Date:** Cell A1 must be in the format YYYY-Q (e.g. 2016-4 for quarter ending 31 Dec 2016) matching the quarter displayed on the submit / update page.

**Security code type:** Cell A2 must include the securities code type of the securities being submitted in the file. Options include one of the below:

- ISIN
- ASX\_CODE

ISIN codes will be translated into ASX Codes.

**ISIN or ASX code:** A valid ISIN or ASX code must be entered in column A, commencing at row 3.

#### QUARTERLY CSV FORMAT

	A	B
1	2016-4	
2	ASX_CODE	
3	ACB	1000
4	AYC	0
5	AYI	78479
6	ABP	15000
7	ALR	1000
8	ABL	0
9	ABU	0
10	AEG	17793
11	ART	1000

**File format:** The file must be saved as a .csv. Blank lines and blank cells are not accepted.

**Committed volume:** Quantities must be entered in column B, commencing at row 3. Zero volumes are not permitted. Any formatting, including leading negative indicators ('-'), commas, decimals, or other characters are not accepted.

- a. Drag and drop your CSV into the upload area or select **browser your computer**.
  - i. Select the required CSV file.
  - ii. Select **Open**.

This will import the data contained in the selected csv file and display it on the screen.

## 6.2. Option 2 : Manually entering the required information.

- a. Select **Manually enter data**.

You may begin submitting a report by selecting one of the options below

Upload a .CSV file

Manually enter data

- b. Manually enter ASX codes and volumes (Borrowed Volume and Loaned Volume for daily reports and Committed Volume for quarterly reports) for all reportable securities.

Securities manually entered must be in the ASX Code format. Only items imported via CSV upload are able to use the ISIN format.

Please enter your securities lending positions for Monday 30 May 2016 in the table below. [?](#)  
Add new rows to the table if required.

**ASX code** must be a valid issuer code.  
**Borrowed Volume** must be whole numbers, without spaces, decimals points or other characters.  
**Loaned Volume** must be whole numbers, without spaces, decimals points or other characters.

This table is editable. Select a field to update the data.

ASX code	Borrowed Volume	Loaned Volume	Delete
BHP	1000	400	✕
I			✕
			✕
			✕
			✕
			✕

[Add a new row](#) +[Delete all](#) ✕

Validate and Submit Report >

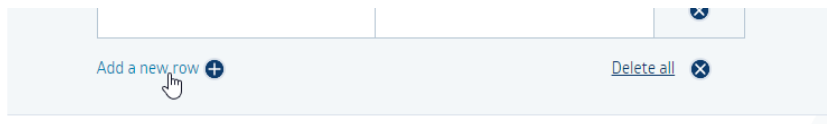
Use the tab key or the mouse to move between cells. Your information will only be validated once you have selected **Validate and Submit Report**.

Additional cells can be added by selecting the “Add a new row” option at the bottom of the list.

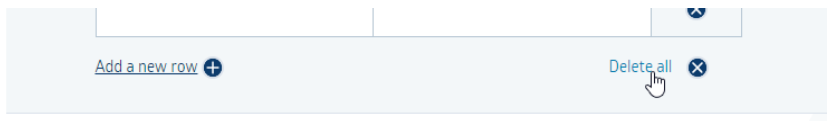
## 7. If required, modify the data to be submitted.

At this stage you may add, edit or delete any or all of the data that appears on the page.

- **Add** additional cells for entering more data, by selecting ‘**Add a new row**’ located at the bottom left hand side of the table.

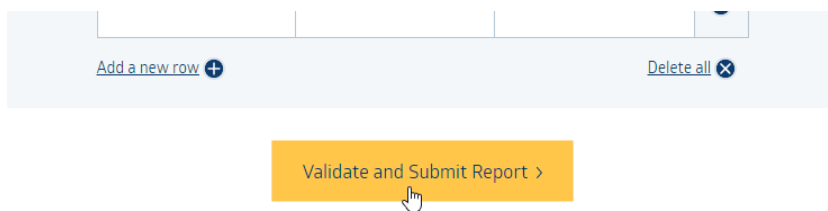


- **Edit** data by selecting the relevant cell and editing its contents.
- **Delete** individual rows by selecting the X against each desired row or delete all data on the page by selecting ‘**Delete all**’ located at the bottom right hand side of the table.





## 8. Submit the finalised report

Once all data is correct and ready to be submitted to ASX for processing select **Validate and Submit Report** located at the bottom of the page.



A confirmation message that your report has been successfully submitted will appear at the top of the screen. The user submitting the securities lending report also receives an email confirming lodgement including the Participant name, securities lending report date and lodgement date and time.


 **Confirmation:** The report was successfully received at 20:25:12, Wednesday 03 February, 2016 (Sydney, AU). 

Securities Lending Report (Daily) for **Monday 01 February 2016**

Pivot Securities

ASX code	Borrowed Volume	Loaned Volume
RIO	0	1000

[Adjust this Report >](#)

 If an issue occurs when executing this step, you will receive an error message. Refer to [Error Messages and Troubleshooting](#) for help on issues with your submission.

If you continue to experience problems when uploading your securities lending report please contact us on 131 ASX (131 279) for further assistance.

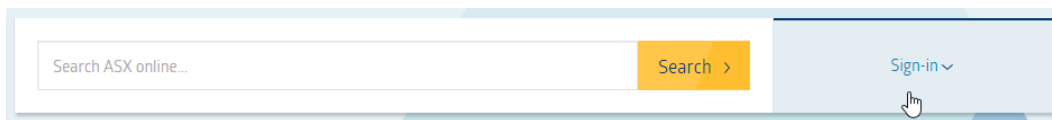
## Adjusting or deleting a submitted securities lending report

You may adjust, or remove completely, your submission as required during the reporting window. The below process outlines how to adjust or remove your submission within the reporting window.

- i** For more information of submitting a securities lending report see the [Submitting a securities lending report](#) section or, for information on prerequisites and timelines please refer to the [Before you begin](#) section.

### 1. Accessing the update securities lending report option.

Sign into ASX Online using your user name and password.



### 2. Under the Securities Lending Reporting facility in the left hand navigation panel, select **Submit / update securities lending report**.



- i** You may also navigate directly to the Submit / update securities lending report page via <https://asxonline.com/securities-lending-reporting>.



3. Verify the entity name is correct. You will see the entity name you are signed in as at the top of the page.

Securities Lending Report Upload ?

Pivot Securities

4. After selecting the report type, *Securities Lending Positions (Reported Daily)* or *Securities Committed to a Lending Program (Reported Quarterly)*, if you have previously submitted a report in the current reporting window you will see the data entered. To amend the submission at the bottom of the page select **Adjust this Report >**

### Current report

Securities Lending report for **Monday 01 February 2016**

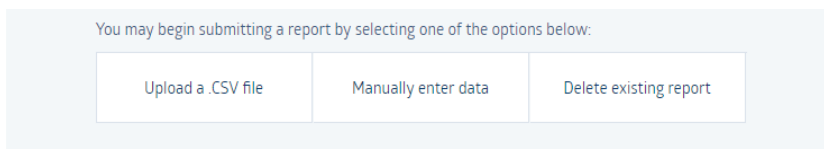
This report was last successfully received at **13:29:12, Tuesday 02 February, 2016**  
(Sydney, AU)

ASX code	Borrowed Volume	Loaned Volume
BHP	4000	100

Adjust this Report >

## 5. You have three options for modifying your existing submission:

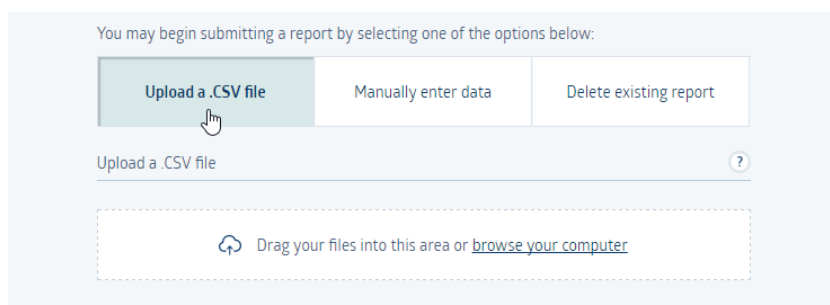
- **Option 1** : overwrite your submission with data from a CSV file
- **Option 2** : manually adjust your submission
- **Option 3** : delete the entire submission



## 6. Option 1 : overwrite your submission with data from a CSV file

Selecting this option you are able to **overwrite** your existing submission with data uploaded via a CSV file.

- a. Select **Upload a CSV file**.

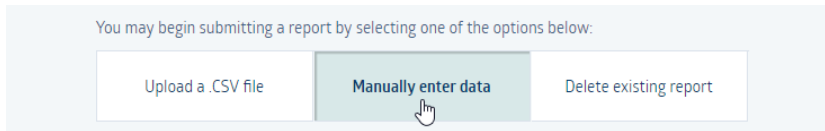


Ensure your data is saved in the required format for the report type selected.

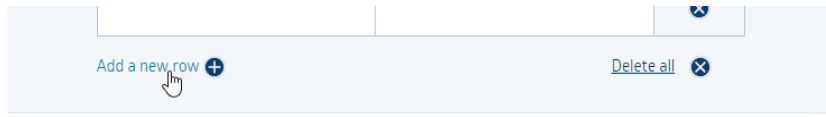
- See [step 6.1](#) from [Submitting securities lending reporting](#) for details on how to format your CSV file.

## 7. Option 2 : manually adjust your submission

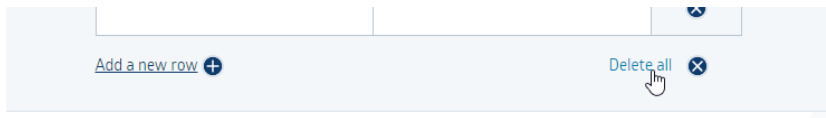
Selecting the **Manually enter data** option will display the previously entered data for editing. At this stage you may add, edit or delete any or all of the data that appears on the page.



- **Add** additional cells for entering more data, by selecting '**Add a new row**' located at the bottom left hand side of the table.



- **Edit** data by selecting the relevant cell and editing its contents.
- **Delete** all data on the page by selecting '**Delete all**' located at the bottom right hand side of the table.



**i** If you intend to remove all data from your submission, then we recommend you select **Delete existing report**.

### 8. Option 3 : delete the entire submission

You may need to remove your previous submission entirely. To achieve this, select the **Delete existing report** option.

You may begin submitting a report by selecting one of the options below:

Upload a .CSV file	Manually enter data	Delete existing report
--------------------	---------------------	------------------------

Delete Securities Lending report for **Monday 01 February 2016** .

Check the box to indicate you wish to delete the report and select **Delete >**.

You may begin submitting a report by selecting one of the options below:

Upload a .CSV file	Manually enter data	Delete existing report
--------------------	---------------------	------------------------

Delete Securities Lending report for **Monday 01 February 2016** .

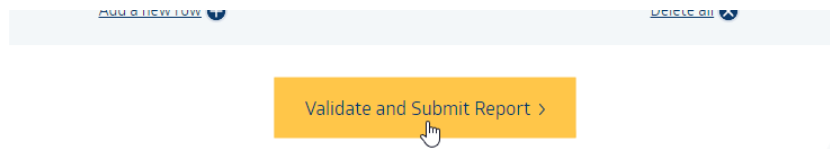
Delete >

You will receive confirmation that the report was successfully deleted and no further action is required.



Confirmation: The securities lending report for 01 February, 2016 has been successfully deleted.

9. If you intend to submit an updated report, select **Validate and Submit Report >**

Once all data is correct and ready to be submitted to ASX for processing select **Validate and Submit Report >** located at the bottom of the page.



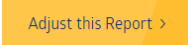
A confirmation message that your report has been successfully submitted will appear at the top of the screen. The user submitting the securities lending report also receives an email confirming lodgement including the Participant name, securities lending report date and lodgement date and time.


 **Confirmation:** The report was successfully received at 20:25:12, Wednesday 03 February, 2016 (Sydney, AU). 

Securities Lending Report (Daily) for **Monday 01 February 2016**

Pivot Securities

ASX code	Borrowed Volume	Loaned Volume
RIO	0	1000



 If an issue occurs while executing this step, an error will be displayed. Refer to [Error Messages and Troubleshooting](#) for help on issues with your submission.

If you continue to experience problems when uploading your securities lending report please contact us on 131 ASX (131 279) for further assistance.

## Reporting

### Viewing my previously submitted securities lending reports

You can view securities lending reports previously submitted to ASX. You may only view the submissions matching the entity you have access to. Each day's report will be available after 1 pm on the day of the submission.

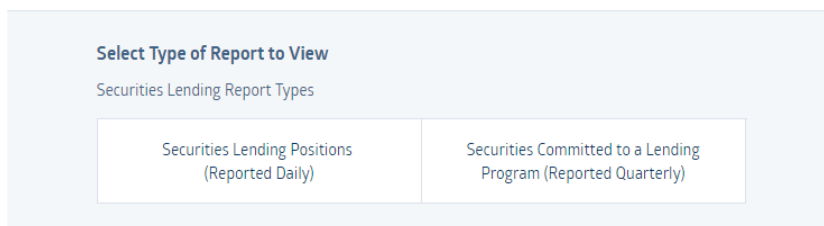
1. Select **View my previously submitted securities lending reports**



2. You will see the entity name you are signed in as at the top of the page.



3. Select the type of securities lending report you wish to view.



4. The most recent submissions from the previous 12 months are returned at the bottom of the page by default, however you may also filter your submissions using the specific range of dates you would like returned for viewing reports for the previous 7 years. Enter the desired dates and select **Filter by date >** to return filtered results.

**Filter by date range**  
The most recent reports (from the previous year) are loaded by default however, reports are available to download for the previous 7 years.

Start date			End date		
Day	Month	Year	Day	Month	Year
1	January	2016	31	January	2016

[Filter by date >](#)  
[Clear dates](#)

**Pivot Securities**

Select a date below to download the relevant securities lending report. New reports are available after 11am of the current reporting window.

Select a date	Download
<a href="#">20 May 2016</a>	<a href="#">CSV</a>
<a href="#">10 May 2016</a>	<a href="#">CSV</a>
<a href="#">06 May 2016</a>	<a href="#">CSV</a>

- 5. To download/view a previous submission select the item from the list of results.

Select a date	Download
<a href="#">29 Jan 2016</a>	<a href="#">CSV</a>
<a href="#">27 Jan 2016</a>	<a href="#">Download the CSV</a> <a href="#">CSV</a>

The submission will be returned as a .CSV for downloading to your computer or for further analysis using an application such as Excel.



## Managing securities lending registration

You may indicate your entity's participation in securities lending by registering. The below steps outline the process of registering your entity's intention to participate in securities lending.

1. Select **Manage my securities lending registration**.



2. You will see the entity name you are signed in as at the top of the page.

Manage Securities Lending Registration Status



Pivot Securities



- You can see the current status of the entity registration as well as an option to register your entity for participation in securities lending.

**Participant registration status**

Pivot Securities is **unregistered** as a Securities Lending Settlement Participant as of 10:01:22 AEST Tuesday 31 May 2016

Change Settlement Participant status to registered

**Register Pivot Securities** as a securities lending participant

Certify >

- To register or unregister your entity select the acknowledgement and select **Certify >**.

**Participant registration status**

Pivot Securities is **unregistered** as a Securities Lending Settlement Participant as of 10:01:22 AEST Tuesday 31 May 2016

Change Settlement Participant status to registered

**Register Pivot Securities** as a securities lending participant

Certify >

- Confirmation of your entities registration status is displayed, including the date and time the last register / unregister action was taken.

Confirmation: The status of Pivot Securities has been successfully updated to **registered**.

Manage Securities Lending Registration Status

Pivot Securities is **registered** as a Securities Lending Participant as of 14:04:11, Tuesday 31 May, 2016



## Error messages and troubleshooting

If an error is encountered while using the securities lending facility, messages are displayed to assist in diagnosing potential problems. Common error messages and reasons why they may have appeared are described below.

**i** If you continue to experience problems after reading this section please contact us on 131 ASX (131 279) for further assistance.

**!** The *[uploaded filename]* is not in the expected format.

Please ensure you are uploading a CSV file formatted as described in the securities lending reporting user notes.

- Is the file format of the file being uploaded comma separated (i.e. .csv file extension)?  
  
To check, open the spreadsheet (it should open in Excel) and select File Save As ... the Save as type: field located at the bottom of the Save As dialogue box should display CSV (comma delimited) (\*.csv).
- How many characters does the filename have? It may not exceed 30 characters.
- Does your CSV contain any blank cells in between rows of data? Blank cells between completed cells are also not accepted.
- Does the original spreadsheet contain any zeros (0) in columns A?
- In the case of securities lending positions (daily) reports, do both columns B and C contain zeros for any given row? At least one of the volume columns must contain a positive integer.
- In the case of securities committed to a lending program (quarterly) reports, does column B contain zeros for any given row? All volumes for this report should be positive integers.
- Is the quantity field formatted using commas separating the thousands and hundreds e.g. 1,000? If so, select the relevant cells and select Format Cells, select the Number tab, select General, press OK.

If the above does not solve your issue:

- Open a new blank spreadsheet.
- Select cells in columns containing information.

- Copy these cells.
- Place the cursor in cell A1 of the blank spreadsheet and select Edit Paste Special, under the Paste section select Values and OK.
- Check that the date format is correct (dd/mm/yyyy or dd/mm/yy). If not, change the date.
- Save this spreadsheet as a comma separated file (.csv) by selecting File Save As ... select the option CSV (comma delimited) (\*.csv) in the Save as type field located at the bottom of the Save As dialogue box.

**!** The *[uploaded filename]* is not in the expected format

Please ensure the date in the file matches the correct reporting date displayed above.

- Check the date in your spreadsheet reflects the correct business day. This must be the date for which you are submitting the data.

See [Understanding the securities lending reporting timeline](#) for more information.

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

**!** Your report contains invalid data - Please scroll down the table, correct the errors indicated and

- Does the spreadsheet contain an invalid ASX code? Only securities currently quoted on ASX will be accepted. Securities not currently quoted on ASX are indicated with an error message.

select validate and submit report to try again.

❗ Missing or invalid ASX code.

❗ Volume must be a number between 1 and 999999999999 excluding commas, decimals and other characters.

❗ Either the borrowed or loaned volume must be >0.

- ISIN security codes imported via CSV are converted to their corresponding ASX code prior to submission if indicated as such in the CSV. Only ASX codes are permitted at time of submission.
- Is there more than one occurrence of this ASX code? Duplicate entries are not accepted and are indicated with an error message.
- Does the spreadsheet include symbols, for example, spaces, commas (,) or negatives (-) in the quantity field or other symbols [!@#%&\*(){}].
- Ensure either the borrowed or loaned volume for daily securities lending reports contains a number >0.
- If there are symbols in the quantity field within an uploaded spreadsheet, e.g. a comma, Excel changes the quantity to 0. The user will be required to change the format of column B to General (via the menu options in Excel: Format Cells, select Number tab) and then re-import the spreadsheet. Even if zeros are displayed on the screen they are not a valid quantity.

❗ **20004** - Reporting is closed for the period you are submitting.

This message typically appears during the reporting blackout period. You may receive this error if:

- You have attempted to submit or adjust a report after the reporting cut off has passed.

See [Understanding the securities lending reporting timeline](#) for more information.

- There may be another technical issue preventing you from submitting your report. Contact ASX on 131 ASX (131 279) if this message continues.

❗ **20010**: No data specified.

You have submitted an empty report. Check your report submission contains data before re-attempting.

