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## Context of this Document

The ASX Settlement Procedure Guidelines must be read in the context of the ASX Settlement Operating Rules.

Any terms explicitly defined in the ASX Settlement Operating Rules and used in the ASX Settlement Procedure Guidelines should be interpreted according to the definition given in ASX Settlement Operating Rules. This includes terms such as participant, registry, holder, issuer, subregister, and financial product. Because of the large number of these terms, they have not been capitalised for emphasis in this document.

In the interests of readability and comprehension, where a procedure applies only in the context of securities in a listed company, the specific term security has been used instead of the more generic term financial product.

## Change History

Version	Date	Description of changes
1.0	May 2005	Initial version of a merged guideline document incorporating details from both the PPG and IRPG
1.1	November 2005	New report TSH has been included.
1.2	May 2007	Inclusion of existing reports not previously described.
1.3	July 2007	Cross reference to Section 2.2.2.3 updated to Section 2.1.9.
1.7	Dec 2010	Updates to include name changes within ASX Group and ASX Operating Rule books.
2.2	May 2013	Note added under OBL report for Opt Out Section 16.7
3.1	Jan 2016	ASXOnline document merge.
3.2	Mar 2016	T+2 implementation and change in references from C&S Operations to Post Trade Operations
3.7	Dec 2021	Added DSM Demand Holding Statement Request (refer to 16.7)

## SECTION 16. REPORTING

### 16.1 REPORTING CONCEPTS

#### 16.1.1 Reporting via CHES Messages

CHES provides data for the purposes of reporting in the form of CHES reporting messages. It is up to the participant or issuer to format this data for presentation on screens or in hardcopy.

CHES reporting messages are either generated routinely as a result of transaction processing or on demand, as a result of CHES message 503 (Reporting Request).

In most cases, demand reports constitute an aggregation of reporting messages that have previously been transmitted through routine transaction reporting. CHES delivers these reports as a stream of messages.

Demand reports may be requested for delivery on a “once off” basis or scheduled for delivery periodically (standing reports). A standing report that has been lodged with CHES may be cancelled.

CHES validates demand report request messages, but there are few reasons for rejection of a request. A failure to nominate selection parameters will result in all of a user’s transactions of a particular type held by CHES being reported. This may generate a high volume of messages.

Information provided by CHES is restricted to that which the requesting participant is authorised to access.

CHES demand reporting is available only to participants. Participants should use their own systems to provide CHES report information to third parties.

#### 16.1.2 Archive Reporting

Historical data that does not reside in CHES is archived.

Participants can access archived data by completing either a “Demand Reporting Request From Archival Storage” form (refer to Appendix V1) or a “CHES Message Extract Request” form (refer to Appendix V2) and submitting it to Post Trade Operations. Reports from archived data will be supplied either by email or on an agreed medium such as hardcopy, diskette or CD. An administration fee will apply to these requests. Once data has been archived it cannot be sent as CHES messages.

Although ASXS maintains at least 3 months of historical data in CHES for reporting purposes, ASXS has endeavoured to increase this time frame significantly. As such, ASXS suggests that users first attempt to obtain desired data via demand report requests prior to requesting information from the archives.

### 16.1.3 Ad Hoc Reporting

From time to time participants may require additional information that cannot be obtained from demand reporting. In such instances, the participants should contact Post Trade Operations to discuss their requirements. An administration fee will apply to these requests.

### 16.2 QUEUING OF DEMAND REPORT REQUESTS

If CHESSE receives a demand report request during settlement or between the end of day and the start of day, it queues that request for processing when normal processing recommences.

To ensure that the processing of demand report requests does not delay scheduled CHESSE processing, the initiating of certain reporting requests is restricted to specific periods of the day.

CHESSE assesses when it will process a demand reporting request based on the report type, the processing period, and the selection parameters. If a participant requests a report be processed immediately and CHESSE cannot satisfy the request, CHESSE rejects the request.

Currently all CHESSE reports can be requested at any available processing period. However, operational experience may uncover the need to restrict certain report categories to a specific processing period (generally End-Of-Day). If this proves necessary, CHESSE users will be advised accordingly.

**16.3 TIMING AND FREQUENCY OF DEMAND REPORTS**

The timing and frequency of demand reports is controlled by fields on the 503 Reporting Request message.

**16.3.1 Processing Frequency**

The Processing Frequency field allows you to specify how often a report request should be actioned. Processing Frequency is a mandatory field.

The valid values are:

<b>Processing Frequency</b>	<b>Description</b>
OO	One Off
DL	Daily
WK	Weekly
FO	Fortnightly
ML	Monthly
YR	Yearly

**16.3.2 Processing Point**

The Processing Point field allows you to specify when in a given period a report request should be actioned. For example, you can request that a weekly report be run on a particular day of the week (e.g. Monday).

The valid values depend on the processing frequency; they are:

<b>Processing Frequency</b>	<b>Description</b>	<b>Valid Processing Point Values</b>
OO	One Off	<i>Not applicable</i>
DL	Daily	<i>Not applicable</i>
WK	Weekly	MO (Monday) TU (Tuesday) WE (Wednesday) TH (Thursday) FR (Friday)

Processing Frequency	Description	Valid Processing Point Values
FO	Fortnightly	MO (Monday) TU (Tuesday) WE (Wednesday) TH (Thursday) FR (Friday)
ML	Monthly	01 through 31 (depending on the month)
YR	Yearly	01 through 12

**16.3.3 Processing Period**

The Processing Period field allows you to specify when the report should be processed. If not specified, CHESSE will run the report immediately if possible.

The valid values are:

Processing Period	Description
<blank>	Immediate
E	End of day

**16.3.4 Reporting Start Date**

The Reporting Start Date field allows you to specify the first date that CHESSE should action a standing report request. If not specified, CHESSE assumes the starting date is today.

**16.3.4 Reporting End Date**

The Reporting End Date field allows you to specify when CHESSE should stop actioning a standing report request.

**16.4 DEFAULT PARAMETERS FOR DEMAND REPORT REQUESTS**

Reporting parameters allow you to restrict the reporting request to a specific subset of information.

If you do not specify a selection parameter, CHES reports all transactions of that particular type. Exercise care when specifying reporting parameters. CHES may delay processing a report request if it will result in a large amount of information.

If a reporting parameter is not specified, CHES uses the following defaults:

<b>Reporting Parameter</b>	<b>Default</b>
HIN	All HINs
Security Code	All financial products held by a selected holder
As at date	Current business date
Start Date	Current business date
End Date	Current business date
Subposition Type	All available subposition types
Transaction ID	All transactions
Corporate Action Type	All current corporate actions for the selected financial products
Ex Date	All current corporate actions for the selected financial products
No. of Days	Current archive period
Transaction Class	All transactions relevant to a report request
Additional Reporting Parameter	Dependant upon type of reporting requested. For balance reports (HBL, CEB, HSB, TPB), the default is all balances.

### 16.5 FREQUENTLY ASKED QUESTIONS ABOUT REQUESTING DEMAND REPORTS

#### When will a fortnightly (FO) report first be processed?

A fortnightly report (FO in the Processing Frequency field) is first processed on either:

- the next nominated day (entered in the Processing Day field); or
- the current business day (if no entry for Processing Day is made).

If a Reporting Start Date is entered, the fortnightly cycle will commence from the specified start date, or from the next day nominated in the Processing Day field (inclusive of the current business day).

#### What happens when a standing report request is due to be initiated on a non-business day?

CHESS report processing for a specific Processing Period will initiate any standing report requests on the business day preceding the requested date. In this way, standing reports requested for a weekend, a non-business day or for a date falling outside a calendar month (i.e. February for monthly reports requested after the 28th) will be produced at the corresponding period of the preceding business day.

#### When are yearly (YR) standing reports processed?

Yearly reports are processed on the last business day of the specified "End of Month".

#### How do you specify a quarterly processing period?

For yearly (YR) standing reports specifying "End of Month" 03, 06, 09 and 12 will produce quarterly reports (produced on the last business day of March, June, September and December).

#### How do you specify a report to run on the last business day of each month?

Specify a standing report request with a processing frequency of monthly (MO) and a processing point of "31".

#### Are there any restrictions placed upon report requests being initiated within a specific processing period?

No.

Reporting requests (that are requested to be processed immediately) received by CHESS after settlement cut-off and end of day are not processed until the CHESS processing for the related period concludes. Report requests targeted at the end of day processing period are processed as part of CHESS end of day processing and are available within four hours of the completion of this processing.

There are no other restrictions of this type at this stage although it may prove necessary to apply such restrictions if a certain report type requires excessive CHES processing resources.

### **Can reports be requested before the processing periods (in the morning of the business day)?**

Yes, provided the report request and parameters are of a category that allows the report to be initiated by CHES immediately. No facility exists for the scheduling of reports to be processed in the period between start of day and settlement cut-off.

### **When is it most convenient for CHES to process report requests?**

Report requests that include the identified parameters can be processed immediately provided they are not received in the period set aside for CHES settlement and end of day processing.

To enable efficient scheduling of report requests, the processing periods have been established so that they offer convenient options to participants that do not coincide with major CHES processing times. CHES users should consider their information needs when choosing report parameters and a suitable processing period.

### **Can an auditor ask for CHES reports direct, to reconcile balances?**

No. CHES reports are only available to participants. Participants must utilise their own systems to request reports on behalf of their auditors. Auditors should accept CHES reports data from participants' systems as equivalent to data supplied direct by CHES.

**16.6 CHESS RESPONSE TIMES FOR DEMAND AND STANDING REPORTING**

The following table gives an indication of the CHESS response times for reports processing.

<b>Message Type</b>	<b>Expected Reponse Time</b>
Demand report request with a valid Processing Period parameter	If End of Day (EOD), then within 4 hours of EOD. Otherwise, within 2 hours of either the Processing Period or the report request, whichever is the latter.
Demand report request without a valid Processing Period parameter, but with valid “immediate processing” parameters	If either Settlement or EOD Processing Period, then within 2 hours of period end, otherwise within 2 hours of request receipt.
Demand report request without a valid Processing Period parameter and. without valid “immediate processing” parameters	CHESS rejects these requests.
Standing report request	If the Processing Period is EOD, then within 4 hours. Otherwise within 2 hours of the specified Processing Period.
Rejection of a reporting request	If either Settlement or EOD Processing Period, then within 2 hours of period end. Otherwise, within 2 hours of request receipt.

Note that a participant may send a 503 Report Request at any time. If demand processing is not available, CHESS will queue the request for later processing.

### 16.7 DEMAND REPORT REFERENCE

This section provides a brief description of the demand report types, the selection parameters applicable, and the message types that may be generated by CHESSE to fulfil each report request.

Each reporting request may include a set of optional parameters. If certain parameters are provided, the request can be processed immediately.

For historical reports the minimum history maintained by CHESSE is 3 months. Refer to Section 16.1.2 for details on archive reporting.

### CEB Cum Entitlement Balance

The Cum Entitlement Balance report returns the number of cum entitlement units allocated to each holder for each corporate action.

Where a specific corporate action is identified (by completing the Corporate Action Type ID and Ex Date parameters) all cum entitlements, both current and terminated, are reported.

If these fields are not nominated, only current cum entitlement balances are reported.

If As At Date is included in the report request message, then the cum entitlement balances “as at” the date specified are reported.

The selection parameters are:

- HIN
- Corporate Action Type ID
- Ex Date
- Security Code
- As At Date
- Subposition Type Parameter

The following CHESSE messages are returned:

- 504 Cum Entitlement Daily Balance
- 520 Cum Entitlement Balance

### CFB Counterparty Funds Balance

The Counterparty Funds Balance report provides the aggregate value of scheduled settlement instructions with the targeted counterparty.

Where no counterparty is specified, a balance is provided for each counterparty.

CCP balances are calculated based on “Scheduled Net Participant Obligations” with the counterparty.

The selection parameters are:

- PID

The following CHES messages are returned:

- 158 Participant Counterparty Balance

### **CMV Cum Entitlement Net Movement**

The Cum Entitlement Balance report returns the net movement in the cum entitlement units allocated to each holder for each corporate action specified.

This report is available only to registries and participants acting as a warrant issuer’s agent.

The selection parameters are:

- HIN
- Security Code
- Start Date
- End Date
- Corporate Action Type ID
- Ex Date.

The following CHES messages are returned:

- 506 Cum Entitlement Net Movements.

### **CSI Cancelled Instruction**

The Cancelled Instruction report identifies all cancelled transactions.

The selection parameters are:

- HIN
- Security Code
- Start Date
- End Date

The following CHES messages are returned:

- 048 Cancelled Demand Dual Entry Transfer Request
- 116 Cancelled Settlement Instruction
- 118 Cancelled Change Settlement Instruction Request

### **DSM Demand Holding Statement Request**

A Demand Holding Statement is a statement detailing the holder's current balance for a given financial product. The statement includes transactions from the holder's last holding balance and any transactions from the beginning of the month to the day of the request. . Where a CHESS holding exists with a zero balance for a nominated security, a holding statement will be produced. Zero balance holdings remain active, and hence reportable for 30 days.

These are processed at the end of each week (or part-week where an end of month occurs).

Cancellations can only target requests lodged in the same week (or part-week).

A report request type 'DSM' sets up a request for a Demand Statement, which will be automatically advised to the ASTC third-party mailing house, and will be emailed or posted to the investor.

Participants will not receive an end-of-reporting advice. Participants can consider receipt of the Accepted Reporting Advice (MT526) as an end of processing advice.

The selection parameters are:

- HIN
- Security Code
- Reporting ID 'DSM'
- Processing Frequency 'OO'
- Processing Period 'end of day'

### **FGM Aggregated Foreign to Foreign Allocations**

The Aggregated Foreign to Foreign Allocations report provides summary totals of net and inter subregister confirmed foreign movements (including foreign to foreign allocations) against selected holdings, during the nominated period.

Refer to Section 2.1.9 for details on confirmed foreign movements and foreign to foreign allocations.

The selection parameters are:

- HIN
- Security Code
- Start Date
- End Date

The following CHESS messages are returned:

- 514 Aggregated Foreign to Foreign Allocations

### **FHT Full Holding Transaction**

The Full Holding Transaction gives the full details of all transactions having been effected against selected holdings during the nominated period

These details may be used for full reconciliation or audit purposes.

The selection parameters are:

- HIN
- Security Code
- Transaction Id
- Start Date
- End Date
- Transaction Class

The following CHES messages are returned:

- 022 Effected Holding Adjustment
- 146 Effected Net Settlement Movement
- 018 Effected Holding Transformation
- 034 Effected Takeover Transfer
- 050 Effected Security Code Change
- 042 Collateral Release
- 074 Full Single Entry CHES to CHES Transfer
- 052 Full Dual Entry CHES to CHES Transfer
- 054 Full CHES to Certificated Transfer
- 056 Full Certificated to CHES Transfer
- 058 Full Certificated to CHES Conversion
- 060 Full Issuer Sponsored to CHES Transfer
- 062 Full Issuer Sponsored to CHES Conversion
- 068 Full CHES to Issuer Sponsored Transfer
- 070 Full CHES to Certificated Conversion
- 072 Full CHES to Issuer Sponsored Conversion
- 090 Full Transferor Submitted Demand Transfer

### **FSI Full Settlement Instruction**

The Full Settlement Instruction report provides full details of all transactions during the nominated period, together with net units and fund movements and the closing unit holding balances for each settlement cycle.

If the Additional Reporting Parameter of “B” is specified, only outstanding (settled and suspended) settlement instructions are reported.

A single Full Settlement Instruction (180) provides current details for each Settlement Instruction. Either timestamps or underlying Transaction IDs highlight changes in status events (e.g. cancelled, matched, scheduled, settled).

A Full Adjusted Settlement Instruction (188) is generated for each adjustment to a settlement instruction. Adjustments include participant request, rescheduled settlement instructions and diary adjustments.

Transaction ID cannot be combined with Start/End Date parameters on the same reporting request. If the Start Date is not specified, by default, the earliest transaction date available online is used. If the End Date is not specified, by default, transactions for the current business date are reported.

The selection parameters are:

- HIN
- Security Code
- Transaction Id
- Start Date
- End Date
- Additional Reporting Parameter

The following CHES messages are returned:

- 180 Full Settlement Instruction
- 188 Full Adjusted Settlement Instruction
- 192 Part-Settled Settlement Instruction

### **HBL Holding Balance**

The Holding Balance report returns the number of units held in each holding.

If HIN/Security Code parameters are provided, then CHES reports current holding balances. If HIN/Security Code/As At Date parameters are provided, then CHES reports holding balances as at the requested date.

The selection parameters are:

- HIN
- Security Code
- As At Date
- Additional Reporting Parameter

The following CHES messages are returned:

- 508 Holding Daily Balance
- 522 Holding Balance

### **HCT Holding Control**

The Holding Control report provides details of CHESS holdings that have had no activity (movements) over a period of time.

The selection parameters are:

- HIN
- Security Code
- Number of Days (since last movement)

The following CHESS messages are returned:

- 522 Holding Balance

### **HLD Holder Detail**

The Holder Detail report provides static details for all holders of a controlling participant.

The selection parameters are:

- HIN

The following CHESS messages are returned:

- 222 Holder Detail

### **HLH Holder History**

The Holder Detail report provides historical static details for all holders of a controlling participant

The selection parameters are:

- HIN
- Start Date
- End Date

The following CHESS messages are returned:

- 224 Holder History

### **HMV Holding Net Movement**

The Holding Net Movement report returns net and inter subregister movements against selected holdings during the nominated period.

This report is available only to registries and participants acting as a warrant issuer's agent.

The selection parameters are:

- HIN
- Security Code
- Start Date
- End Date

The following CHESS messages are returned:

- 510 Holding Net Movement.

### **HRD Holding Registration Detail**

The Holding Registration Detail report shows full registration details for the nominated holding.

The selection parameters are:

- HIN
- Security Code
- Start Date
- End Date

The following CHESS messages are returned:

- 512 Holding Registration Details

### **HSB Holding Subposition Balance**

The Holding Subposition Balance report details the number of units for each holding subposition.

The selection parameters are:

- HIN
- Security Code
- Subposition Type
- Additional Reporting Parameter

The following CHESS messages are returned:

- 502 Holding Subposition Detail

### **HSP Holding Subposition Detail**

The Holding Subposition Detail report provides transaction details for holding subpositions.

The selection parameters are:

- HIN
- Security Code

- Subposition Type
- Transaction Id
- Start Date
- End Date

The following CHES messages are returned:

- 040 Accepted Collateral Removal Request
- 028 Created Collateral
- 032 Effected Takeover Acceptance
- 042 Collateral Release
- 030 Reduced Collateral
- 038 Reversed Takeover Acceptance
- 034 Effected Takeover Transfer
- 086 Accepted Takeover Acceptance Removal Request
- 088 Rejected Takeover Acceptance Removal Request
- 078 Rejected Collateral Removal

### HTX Holding Transaction

The Holding Transaction report provides details of all transactions having been effected against selected holdings during the nominated period.

These details may be used for full reconciliation or audit purposes.

The selection parameters are:

- HIN
- Security Code
- Transaction Id
- Start Date
- End Date

The following CHES messages are returned:

- 002 Effected Demand Single Entry CHES to CHES Transfer
- 004 Effected Transferor Submitted Transfer
- 006 Effected Demand Dual Entry CHES to CHES Transfer
- 008 Effected CHES to Registry Movement
- 010 Applied Transferor Submitted Transfer
- 018 Effected Securities Transformation
- 022 Effected Holding Adjustment
- 034 Effected Takeover Transfer
- 042 Collateral Release
- 172 Effected Registry to CHES Conversion

- 174 Effected Registry to CHES Transfer
- 146 Effected Net Settlement Movement

### **OBL Obligation**

The Obligation report identifies scheduled transactions for the day and projected unit and funds positions. This report notifies participants of the projected unit and funds positions in forthcoming settlement cycles.

To Request all outstanding instructions: specify neither Number of Days nor As At Date.

To Request Next Day's obligations EITHER specify an As At Date and do not specify Number of Days OR specify Number of Days and do not specify As At Date.

Note : A Notified Trade message will not be reported for crossings elected for opt out (refer section 7.2)

The selection parameters are:

- HIN
- Security Code
- Number of Days
- As At Date

The following CHES messages are returned:

- 134 Scheduled Net Obligation
- 164 Notified Trade
- 166 Scheduled Dual Entry Settlement Instruction
- 106 Scheduled Single Entry Settlement CHES to CHES Transfer
- 148 Projected Cum Entitlement Position
- 150 Projected Funds Obligation
- 152 Projected Securities Position

### **OSL Outstanding SLS Loan**

The Outstanding SLS Loan report identifies SLS loans that are outstanding at the time of reporting.

The selection parameters are:

- HIN
- Security Code

The following CHES messages are returned:

- 274 Adjusted Loan
- 286 Full Loan Instruction

### **PFD Payment Facility Detail**

The Payment Facility Detail report provides details of a participant's current payment facility

The selection parameters are:

- Payment Facility ID
- HIN

The following CHES messages are returned:

- 230 Payment Facility Detail

### **PFH Payment Facility History**

The Payment Facility History report provides historical details of a participant's payment facilities.

The selection parameters are:

- Payment Facility ID
- HIN

The following CHES messages are returned:

- 232 Payment Facility History

### **PPS Projected Position**

The Projected Position report provides participants with the projected unit and funds positions in forthcoming settlement cycles.

The selection parameters are:

- HIN
- Security Code
- Position Type
- As At Date

The following CHES messages are returned:

- 148 Projected Cum Entitlement Position
- 150 Projected Funds Obligation
- 152 Projected Securities Position

### **RAC Rights Acceptance**

The Projected Position report provides participants with the total number of units that have been deducted from a nil-paid rights holding by the registry following acceptance of the rights of the holder.

The selection parameters are:

- HIN
- Security Code

The following CHES messages are returned:

- 516 Rights Acceptance

### **RPD Reporting Request Detail**

The Reporting Request Detail report provides details of a current reporting request (i.e. the details of a previously lodged reporting request).

The selection parameters are:

- Transaction Id
- Reporting Id

The following CHES messages are returned:

- 234 Reporting Request Detail

### **SCE Subregister Closure Exceptions**

The Subregister Closure Exceptions report provides details of transactions that are suspended due to the closure of the CHES subregister.

The selection parameters are:

- HIN
- Security Code

The following CHES messages are returned:

- 162 Suspended Settlement Instruction

### **SET Settlement**

The Settlement report provides details of all registry-to-CHES transfer and conversion requests that remain unauthorised when the report is generated.

The selection parameters are:

- HIN
- Security Code

The following CHES messages are returned:

- 124 Rescheduled Settlement Instruction
- 146 Effected Net Settlement Movement
- 156 Settled Settlement Instruction
- 170 Effected Net Funds Movement

- 192 Part Settled Settlement Instruction

### **SMP Movements Between Subregisters**

Participant request. The Movements Between Subregisters report provides details of movements between the CHESSE subregister and the issuer sponsored subregisters. Transfer and conversion transactions for which registry confirmation is pending are included.

The selection parameters are:

- HIN
- Security Code
- Transaction ID
- Start Date
- End Date

The following CHESSE messages are returned:

- 008 Effected CHESSE to Registry Movement
- 016 Accepted Registry to CHESSE Movement Request
- 076 Rejected Registry to CHESSE Movement
- 172 Effected Registry to CHESSE Conversion
- 174 Effected Registry to CHESSE Transfer

### **SMR Movements Between Subregisters**

Registry request. The Movements Between Subregisters report provides details of movements between the CHESSE subregister and the issuer sponsored subregisters. Transfer and conversion transactions for which registry confirmation is pending are included.

The selection parameters are:

- HIN
- Security Code
- Transaction ID
- Start Date
- End Date

The following CHESSE messages are returned:

- 008 Effected CHESSE to Registry Movement
- 016 Accepted Registry to CHESSE Movement Request
- 076 Rejected Registry to CHESSE Movement
- 172 Effected Registry to CHESSE Conversion
- 174 Effected Registry to CHESSE Transfer

### **TCB Total Cum Entitlement Balance**

The Total Cum Entitlement Balance report returns the total of all cum entitlement balances held on the CHESS subregister for a specific corporate action.

This report is available only to registries and participants acting as a warrant issuer's agent.

The selection parameters are:

- Corporate Action Type ID
- Ex Date.

The following CHESS messages are returned:

- 524 Total Cum Entitlement Balance.

### **TPB Third Party Subposition Balance**

The Third Party Subposition Balance report details the holding subpositions held against a CHESS holding. This report should be used only where a participant is acting as, or on behalf of, a bidder in a takeover.

The selection parameters are:

- HIN
- Security Code
- As At Date
- Takeover Code
- Additional Reporting Parameter

The following CHESS messages are returned:

- 502 Holding Subposition Detail

### **TPD Third Party Subposition Details**

The Third Party Subposition Details report provides details of transactions that have effected holding subpositions held against a CHESS holding. This report should be used only where a Participant is acting as, or on behalf of, a bidder in a takeover.

The selection parameters are:

- HIN
- Security Code
- Subposition Type
- Takeover Code
- Transaction Id
- Start Date
- End Date

The following CHES messages are returned:

- 602 Effected ACH Transaction
- 610 Collateral Request
- 612 Collateral Removal Authorisation Request
- 702 Takeover Acceptance Removal Authorisation Request
- 704 Takeover Acceptance Notification
- 706 Effected Offeror Transaction

### **TSB Total Security Balance**

The Total Security Balance report returns all holding balances for a specific financial product. This total can be used to assist in the reconciliation of issued capital for a specific financial product.

This report is available only to registries and participants acting as a warrant issuer's agent.

The selection parameters are:

- Security Code.

The following CHES messages are returned:

- 532 Total Security Balance.

### **TSH Top Security Holder**

The Top Security Holder report provides Issuers, or their nominated agent, with a subset of CHES shareholder information relating to that Issuer. Only an Issuer can request this information, however an Issuer can nominate a third party agent to request and receive issuer information.

This can only be requested as an overnight report.

The selection parameters are:

- Security Code
- As At Date
- Position Type (selected increment of 100 (between 100 & 1000))

The following CHES messages are returned:

- 560 Top Security Holder Report

### **URT            Unauthorised Registry Transaction**

Registry request. Unauthorised Registry Transaction reporting report details all Participant conversion and transfer requests that are as yet unauthorised by the relevant registry.

The selection parameters are:

- HIN
- Security Code
- Start Date
- End Date

The following CHES messages are returned:

- 402    Certificated to CHES Conversion Authorisation Request
- 404    Issuer Sponsored to CHES Conversion Authorisation Request
- 406    Certificated to CHES Transfer Authorisation Request
- 408    Issuer Sponsored to CHES Transfer Authorisation Request

### **USD            User Detail**

The User Detail Reporting report provides a user with their details as currently maintained in CHES.

The selection parameters are:

- PID

The following CHES messages are returned:

- 226    User Detail

### **USH            User History**

The User History Reporting report provides a user with a history of their past details as maintained in CHES.

The selection parameters are:

- PID
- Start Date
- End Date

The following CHES messages are returned:

- 228    User History

### USI

#### Unmatched Instruction

The Unmatched Instruction report identifies all unmatched transactions at report request time.

The selection parameters are:

- HIN
- Security Code

The following CHES messages are returned:

- 012 Unmatched Demand Dual Entry CHES/CHES Transfer
- 102 Unmatched Dual Entry Settlement Instruction
- 130 Requested Settlement Instruction Change
- 178 Unmatched Dual Entry Settlement Instruction Cancellation Request

### Static Data Reports

The following reports provide information about static data:

- HLD Holder Detail
- HLH Holder History
- HRD Holding Registration Details
- PFD Payment Facility Detail
- PFH Payment Facility History
- TSH Top Security Holder
- USD User Detail Reporting
- USH User History Reporting.

### Balance Reports

The following reports provide balance information:

- CEB Cum Entitlement Balance
- CFB Counterparty Funds Balance
- FGM Aggregated Foreign to Foreign Allocations
- HBL Holding Balance
- HCT Holding Control
- HSB Holding Subposition Balance
- OBL Obligation
- PPS Projected Position
- RAC Rights Acceptance
- TPB Third Party Subposition Balance.

Participants acting as a warrant issuer's agents may also access the following balance reports (which are usually available only to registries and issuers):

- HMV Holding net movement
- CMV Cum entitlement net movement
- TCB Total cum entitlement balance
- TSB Total security balance.

### Transactions Reports

The following reports provide information about transactions:

- CSI Cancelled Instruction
- FHT Full Holding Transaction
- FSI Full Settlement Instruction
- HSP Holding Subposition Detail
- HTX Holding Transaction
- OSL Outstanding SLS Loan

## ASX SETTLEMENT PROCEDURE GUIDELINES

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- SCE Subregister Closure Exceptions
- SET Settlement
- SMP Movements between Subregisters (Participant)
- SMR Movements between Subregisters (Registry)
- TPD Third Party Subposition Details
- URT Unauthorised Registry Transactions
- USI Unmatched Instruction.

**16.8 REQUESTING A REPORT**

This procedure outlines how a participant requests a report.

**PROCEDURE**

16.8.1 The participant determines the report type required, selection parameters and frequency for a report request.

16.8.2 The participant sends the report request to CHES.

CHES notifies the participant that the request has been either accepted or rejected.

16.8.3 If the request is for a standing report, CHES stores the request details.

16.8.4 CHES generates the requested reporting messages either immediately or at a later processing period.

The reporting messages carry the transaction Id of the reporting request as the “Origin Transaction Id”. CHES suffixes the messages resulting from a reporting request with an “End of Reporting” message. This message signifies that a reporting request transmitted by the participant has been processed to completion, and all resulting messages have been sent to the requestor.

16.8.5 The participant internally processes the messages received and if required, generates a hard copy report.

**Message Reference Table**

<b>Section</b>	<b>Message Number and Description</b>	<b>Sender</b>	<b>Recipient</b>
16.8.2	503 Reporting Request	Participant	CHES
16.8.2	526 Accepted Reporting Request	CHES	Participant
16.8.2	518 Rejected Transaction	CHES	Participant
16.8.4	538 End of Reporting	CHES	Participant

### 16.9 CANCELLING A REPORTING REQUEST

This procedure outlines how a participant cancels a report request.

#### PROCEDURE

- 16.9.1 The participant identifies the report request to be cancelled.
- 16.9.2 The participant ensures the report request is still current and internally records the cancel request.
- 16.9.3 The participant sends a message to CHESSE requesting cancellation of the report request.
- 16.9.4 CHESSE notifies the participant that the request has been either effected or rejected.
- 16.9.5 The participant internally records completion.

#### Message Reference Table

Section	Message Number and Description	Sender	Recipient
16.9.3	505 Reporting Request Cancellation	Participant	CHESSE
16.9.4	530 Cancelled Reporting Request	CHESSE	Participant
16.9.4	518 Rejected Transaction	CHESSE	Participant