

**SECTION 21. ISSUER SPONSORED ENQUIRY ..... 21-1**

**21.1 Issuer Sponsored Enquiry Overview..... 21-1**

**21.2 Securityholder Reference Number Enquiry ..... 21-2**

**21.3 Issuer Sponsored Holding Balance Enquiry..... 21-3**



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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
1.2	May 2007	Renumbering of this section as the original Section 20 ASX World Link has been removed
1.7	Dec 2010	Updates to include name changes within ASX Group and ASX Operating Rule books
2.2	May 2013	Updates to rule reference in Section 21.1
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	Removed reference to SRAA website (refer to 21.1)

## SECTION 21. ISSUER SPONSORED ENQUIRY

### 21.1 ISSUER SPONSORED ENQUIRY OVERVIEW

The issuer sponsored enquiry facility allows participants to determine the specific attributes of an issuer sponsored holder by sending an enquiry to the issuer, or its agent registry.

The issuer sponsored enquiry facility is an **optional** facility available to participants and issuers/registries.

Market participants have automatic access to this facility, provided they use systems supplied by a fully accredited service provider. Non-market participants may use this facility only if they lodged a settlement bond with the ASX (refer to Section 3.12.2).

CHESS provides basic validation of issuer sponsored enquiry message contents. The matching of details and retrieval of data is performed by the Issuer/Registry.

Participants can also to obtain an SRN, on behalf of a securityholder, from the Registry by completing a “Request for Securityholder Reference Number (SRN)” form, available from the relevant registry. For more information refer to Section 5.

It is the responsibility of each participant to ensure that their procedures and usage of the CHESS issuer sponsored enquiry facility is in accordance with the obligations of the ASX Settlement Operating Rules.

**21.2 SECURITYHOLDER REFERENCE NUMBER ENQUIRY**

The purpose of the Securityholder Reference Number Enquiry is to enable:

- A Participant to request a Registry to provide Securityholder Reference Number (SRN) details for a specific holder; and
- the Registry to respond to the Participant’s request for Securityholder Reference Number details.

**Procedure**

- 3.11.2.1 The Participant submits a Securityholder Reference Number (SRN) enquiry request to CHES.
- 3.11.2.2 If the request is successfully validated by CHES, the request is transmitted to the appropriate Registry.
- 3.11.2.3 Upon successful investigation, the Registry transmits the requested details to CHES. CHES transmits a message to the Registry confirming the response has been processed and transmits the details to the Participant.
- 3.11.2.4 Unsuccessful investigations result in a rejection being transmitted by the Registry to CHES. CHES transmits a message to the Registry confirming the rejection and transmits details of the rejection to the Participant.

**Message Reference Table**

<b>Section</b>	<b>Message Number and Description</b>	<b>Sender</b>
13.11.2.2	454 CHES to Registry SRN Request	CHES
13.11.2.3	453 Registry to CHES SRN Response	Registry
13.11.2.3	456 CHES to Registry SRN Response Acknowledgment	CHES
13.11.2.4	455 Registry to CHES SRN Reject	Registry
13.11.2.4	460 CHES to Registry SRN Reject Acknowledgment	CHES

**21.3 ISSUER SPONSORED HOLDING BALANCE ENQUIRY**

The purpose of Holding Balance Enquiry is to enable:

- A Participant to request a Registry to provide an Issuer Sponsored holding balance for a specific holder; and
- the Registry to respond to the Participant’s request for an Issuer Sponsored holding balance.

**Procedure**

- 3.11.3.1 The Participant submits an Issuer Sponsored holding balance enquiry request to CHES.
- 3.11.3.2 If the request is successfully validated by CHES, then the request is transmitted to the appropriate Registry.
- 3.11.3.3 Upon successful investigation, the Registry transmits the requested details to CHES. CHES transmits a message to the Registry confirming the response has been processed and transmits the details to the Participant.
- 3.11.3.4 Unsuccessful investigations result in a rejection being transmitted by the Registry to CHES. CHES transmits a message to the Registry confirming the rejection and transmits details of the rejection to the Participant.

**Message Reference Table**

<b>Section</b>	<b>Message Number and Description</b>	<b>Sender</b>
13.11.3.2	466 CHES to Registry Holding Balance Request	CHES
13.11.3.3	459 Registry to CHES Holding Balance Response	Registry
13.11.3.3	468 CHES to Registry Holding Balance Response Acknowledgment	CHES
13.11.3.4	461 Registry to CHES Holding Balance Reject	Registry
13.11.3.4	472 CHES to Registry Holding Balance Reject Acknowledgment	CHES

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