

Technical Overview

mFund Settlement Service

VERSION 4.7

MARCH 2017



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Acronym Glossary

Acronym	Definition
AIC	Access Identification Code (<i>CHESS</i>)
AML	Anti-money Laundering
APG	ASX Settlement Procedure Guidelines
APIR	Asia Pacific Investment Register
ATO	Australian Tax Office
CHESS	Clearing House Electronic Sub-Register System
DRP	Dividend Reinvestment Plan
EIS	CHESS External Interface Specification
EOD	End of Day
FATCA	Foreign Account Tax Compliance Act
HIN	Holder Identification Number
ISV	Independent Service Vendor
PDS	Product Disclosure Statement
PID	Participant Identifier
PISP	Product Issuer Settlement Participant
RITS	Reserve Bank Information & Transfer System
RPP	Regular Payment Plan (not currently in production)
SDS	Standard Distribution Statement
SRN	Security Holder Reference Number
TFN	Tax File Number (<i>AUS</i>)
UIC	User Identification Code (interchangeable with PID)

Introduction

The purpose of this document is to provide an introduction to CHESSE precepts and an overview of the technical infrastructure underpinning the mFund Settlement Service. The document details the elements that comprise the mFund Settlement Service.

- Establishing and maintaining payment facilities to allow interaction with CHESSE settlement whereby monies pass from the broker to the PISP for applications and vice versa for redemptions.
- Establishing and maintaining a CHESSE Holder outlines the procedure used to establish a CHESSE Holder (investor) and the allocation, by CHESSE, of a HIN. This is a prerequisite for any interaction between CHESSE and the investor (via their sponsoring broker).
- mFund CHESSE messaging interactions required to achieve a business outcome (an Application for Fund Units for example).
- CHESSE messaging interactions required to manage reporting, and other ancillary functions within CHESSE.

Refer to the chapter *CHESSE Messaging* for a list of all mFund related messages.

CHESSE messages and associated data fields are documented in the CHESSE External Interface Specification (EIS) and are available through the following link:

[CHESSE External Interface Specifications \(EIS\)](#)

Procedural detail for each mFund Settlement Service function is documented in the ASX Settlement Procedure Guidelines (APG) and is available through the following link:

[ASX Settlement Procedure Guidelines \(APG\)](#)

The Appendices to this document cover a number of important features:

- Available mFund Security Types
- CHESSE Transaction ID usage
- Investor registration retail validation
- Investor Types used within the TFN
- ASX ReferencePoint mFund files
- mFund website
- mFund participation models
- CHESSE processing schedule

mfund Contacts

For information regarding these new mFund features please contact:

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mfund CHESSE Message Interactions

CHESSE messaging is the medium for interaction between CHESSE, Broker Participants, Product Issuer Settlement Participants and Share Registries and adds value in terms of a standard transaction protocol and by providing data validation where applicable.

The following section describes the interactions between CHESSE users and the CHESSE messages and message flows required to achieve the business outcomes. The mFund Settlement Service CHESSE messages are presented along with existing CHESSE messages that need to be incorporated to qualify as an accredited CHESSE mFund user.

The categories used to group the following mFund Settlement Service CHESSE message interactions are:

- Payment Facilities
- Holder Maintenance
- Applications
- Redemptions
- Switches
- Order Maintenance
- Income Statements
- Distribution Reinvestment Plans (DRP) Elections
- Regular Payment Plans (RPP) Elections (not currently in production)
- Distribution Reinvestment Plans (DRP)
- Conversions
- Enquiries
- Reporting
- Settlement
- Payments

Note: mFund transfer functionality is not currently supported within the CHESSE production (v9.0) environment. Accordingly, all messages and references to 'transfer' functionality stated in previous versions of this technical overview (v4.7) have been removed.

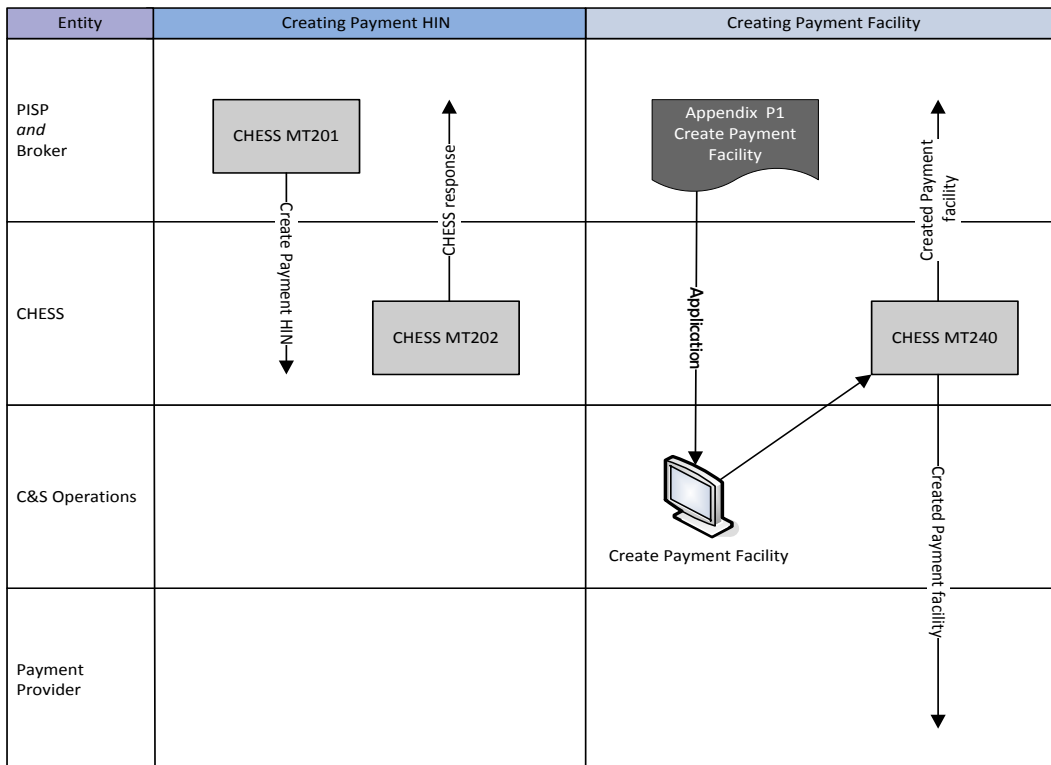
Payment Facilities

Two payment facilities must be established by each PISP and each broker participant through their payment provider:

1. Application
2. Redemption

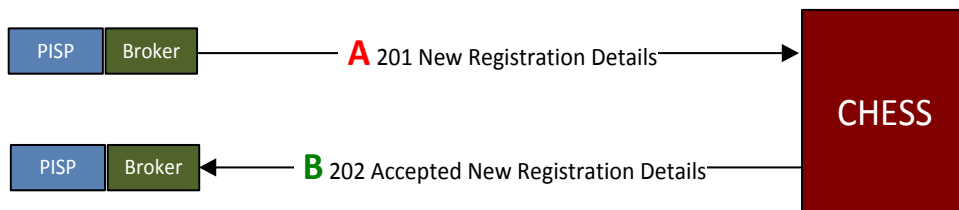
Once the payment facilities are established, each participant must request the setup of Payment HINs which will link to the nominated payment facility. This process is shown below.

Payment HIN Assignment Process



Payment HIN: Creation

To set up a Payment HIN. Set Entrepot Type to 'P'. This must occur for each Payment Facility.

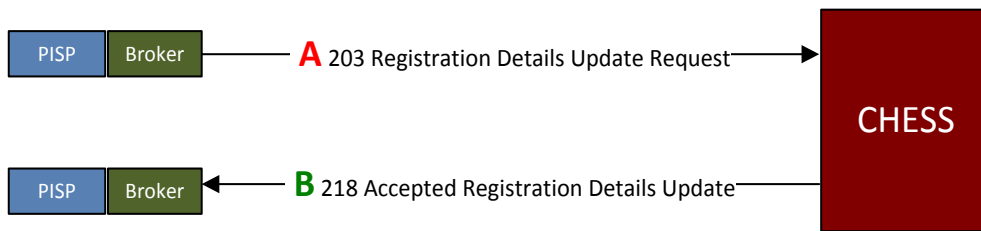


A 201 New Registration Details	M / O
Holder Type	M
Transaction Id	M
Registration Details	M
Entrepot Type	O
Residency Indicator	M
Email Address	O
Email Purpose	O

B 202 Accepted New Registration Details	M / O
HIN	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Payment HIN: Cancellation

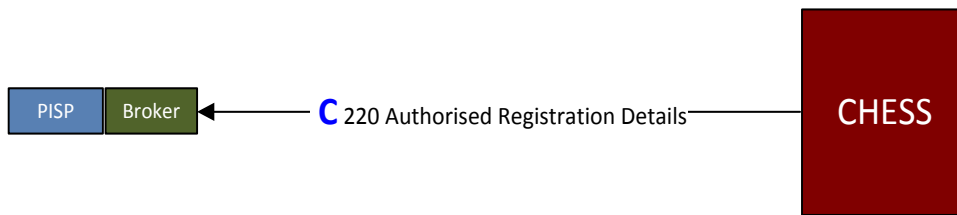
To be used to cancel a Payment HIN of Entrepot Type 'P'.



A 203 Registration Details Update Request	M / O
Date of Event	O
HIN	M
Contact Reference	O
Transaction ID	M
Registration Details	O
Registration Name Update Reason 1	O
Registration Name Update Reason 2	O
Holder Status Change	O
Residency Indicator	O
Holder Lock Release Reason	O
Email Address	O
Email Purpose	O
Email Cancellation	O

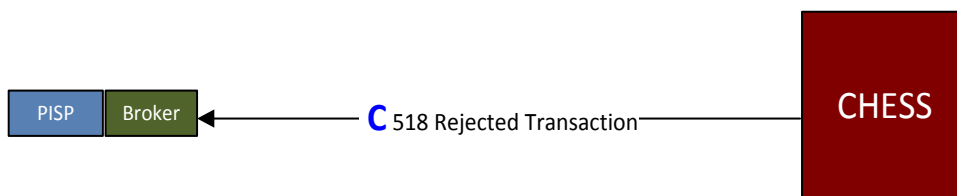
B 218 Accepted Registration Details Update	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Payment HIN: Cancellation authorisation



C 220 Authorised Registration Details	M / O
HIN	O
Holder Type	O
Processing Timestamp	M
Target Transaction ID	M
Registration Details	O
Origin Transaction Id	M
Entrepot Type	O
Holder Status	O
Residency Indicator	O
Registration Details Update Reason	M

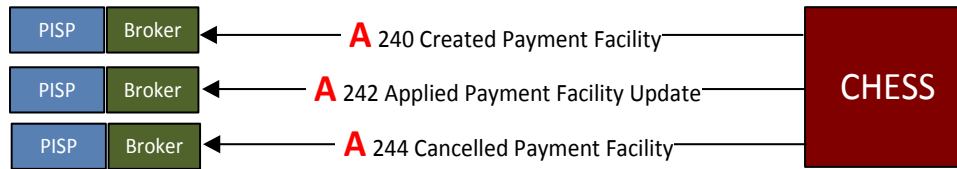
Payment HIN: Cancellation rejection



C 518 Rejected Transaction	M / O
Processing Timestamp	M
Transaction ID	M
Origin Transaction Id	M
Rejected Reason	M

Payment HIN: Payment Facility advice

Following a successful request to create, update or cancel a Payment Facility, CHES transmits one of the following advice messages (based on the action requested: Create, Update or Cancel).



A 240 Created Payment Facility	M / O
HIN	O
PID	M
Bank UIC	M
Processing Timestamp	M
Payment Facility Id	M
Transaction Id	M
Default Payment Facility Indicator	M
Origin Transaction ID	M

A 244 Cancelled Payment Facility	M / O
Processing Timestamp	M
Payment Facility Id	M
Transaction Id	M
Origin Transaction ID	M

A 242 Applied Payment Facility Update	M / O
HIN	O
PID	M
Bank UIC	M
Processing Timestamp	M
Payment Facility Id	M
Transaction Id	M
Origin Transaction ID	M
Payment Facility Change Reason	M

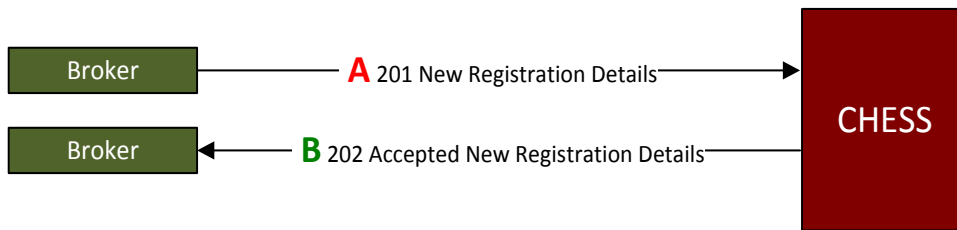
CHES Holder Maintenance

The following section describes the message suites relating to the setup and maintenance of holder related data in CHES. The diagrams show the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

- Holder Creation and Maintenance
- SRN Enquiry
- Holding Advice
- TFN/ABN Advice
- Lock /Unlock CHES Holding

Holder Maintenance: Holder creation

Applies to Sponsoring Participants only (Holder Type 'S').



A 201 New Registration Details	M / O
Holder Type	M
Transaction Id	M
Registration Details	M
Entrepot Type	O
Residency Indicator	M
Email Address	O
Email Purpose	O

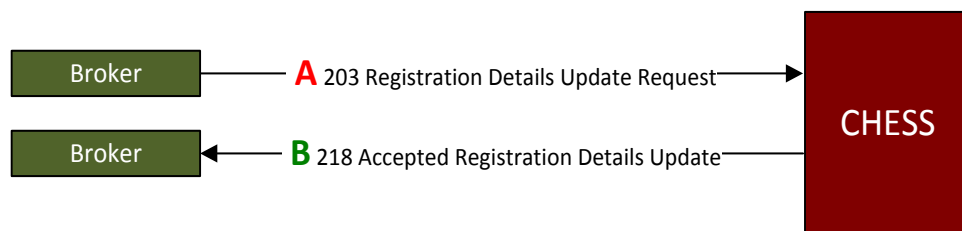
B 202 Accepted New Registration Details	M / O
HIN	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M



Where an Email Address is entered, an Email Purpose must be supplied

Holder Maintenance: **Holder update**

Applies to Sponsoring Participants only. CHESs authorisation is required where either the registration details (name and/or address) or email details are modified.



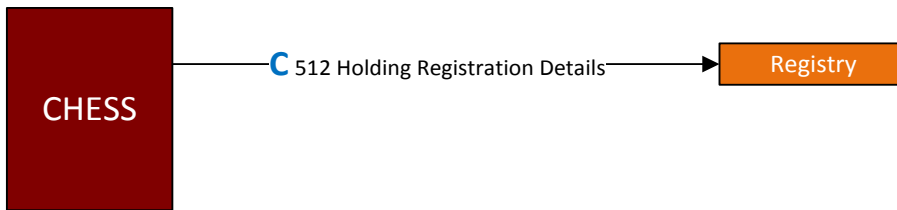
A 203 Registration Details Update Request	M / O
Date of Event	O
HIN	M
Contact Reference	O
Transaction ID	M
Registration Details	O
Registration Name Update Reason 1	O
Registration Name Update Reason 2	O
Holder Status Change	O
Residency Indicator	O
Holder Lock Release Reason	O
Email Address	O
Email Purpose	O
Email Cancellation	O

B 218 Accepted Registration Details Update	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

i Where an Email Address is entered, an Email Purpose must be supplied

Holder Maintenance: Registry Holder update

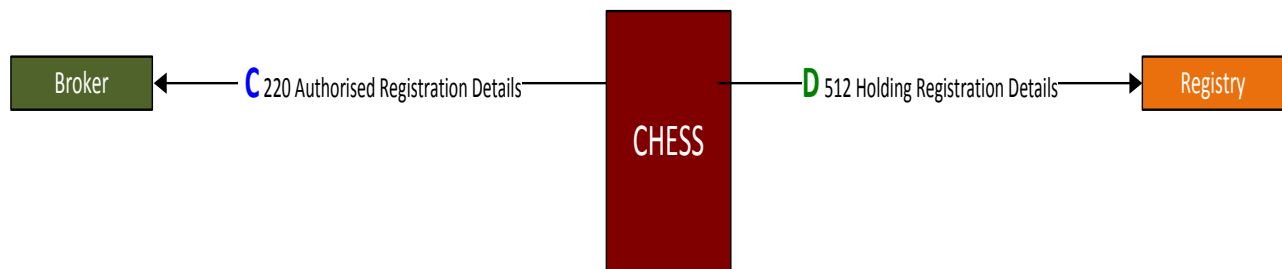
Applies to Sponsoring Participants only, where CHES authorisation is not required.



D 512 Holding Registration Details	M / O
Security Code	M
HIN	M
Holder Type	M
Controlling PID	M
Processing Timestamp	M
Registration Details Indicator	M
Registration Details	M
Origin Transaction Id	M
Holder Status	O
Residency Indicator	O
Email Address	O
Email Purpose	O

Holder Maintenance: Holder update acceptance

Applies to Sponsoring Participants only. CHES authorisation only applies where either the registration details (name and/or address) or email details have been modified.

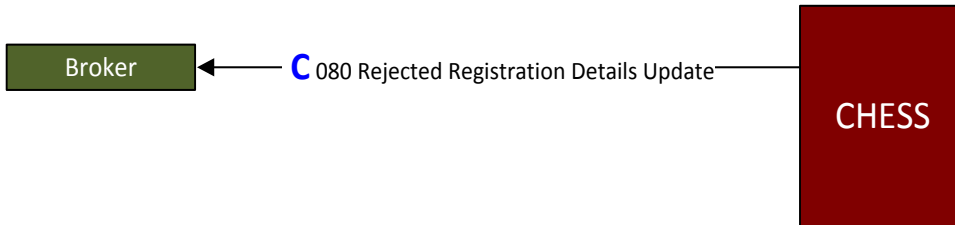


C 220 Authorised Registration Detail	M / O
HIN	O
Holder Type	O
Processing Timestamp	M
Target Transaction ID	M
Registration Details	O
Origin Transaction Id	M
Entrepot Type	O
Holder Status	O
Residency Indicator	O
Registration Details Update Reason	M

D 512 Holding Registration Details	M / O
Security Code	M
HIN	M
Holder Type	M
Controlling PID	M
Processing Timestamp	M
Registration Details Indicator	M
Registration Details	M
Origin Transaction Id	M
Holder Status	O
Residency Indicator	O
Email Address	O
Email Purpose	O

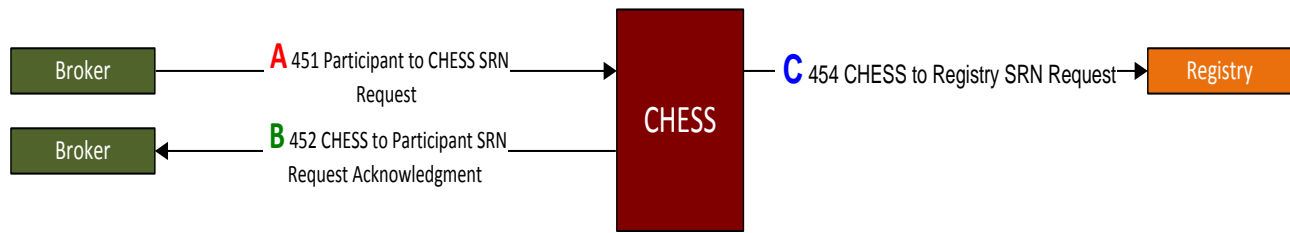
Holder Maintenance: **Holder update rejection**

Applies to Sponsoring Participants only. CHESs authorisation only applies where either the registration details (name and/or address) or email details have been modified.



C 080 Rejected Registration Details Update	M / O
Processing Timestamp	M
Target Transaction ID	M
Origin Transaction Id	M
Rejected Registration Update Reason	M

Holder Maintenance: SRN Enquiry



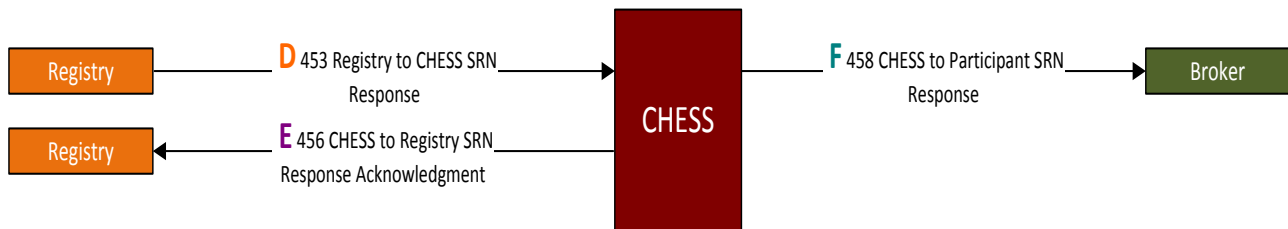
Followed by Registry acceptance or rejection of the SRN Enquiry request.

A 451 Participant to CHES SRN Request	M / O
Fund Code	M
Transaction ID	M
Registration Details	M

B 452 CHES to Participant SRN Request Acknowledgment	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

C 454 CHES to Registry SRN Request	M / O
Fund Code	M
Target UIC	M
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M
Registration Details	M

Holder Maintenance: SRN Enquiry acceptance

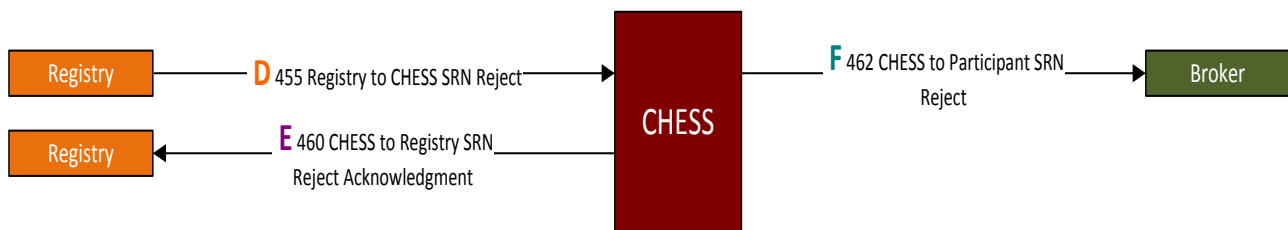


D 453 Registry to CHES SRN Response	M / O
Fund Code	M
Target UIC	M
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M
SecurityHolder Reference Number	M
Registration Details	M

F 458 CHES to Participant SRN Response	M / O
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M
SecurityHolder Reference Number	M
Registration Details	M
Origin Transaction Id	M

E 456 CHES to Registry SRN Response Acknowledgment	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Holder Maintenance: SRN Enquiry rejection

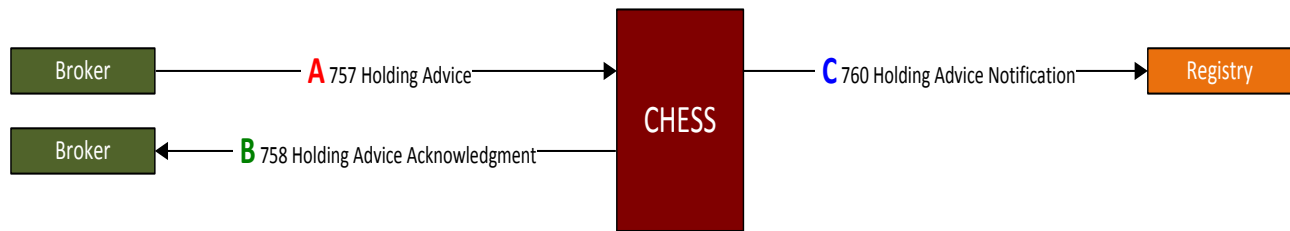


D 455 Registry to CHES SRN Reject	M / O
Fund Code	M
Registry Reject Reason	M
Target UIC	M
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M

F 462 CHES to Participant SRN Reject	M / O
Registry Reject Reason	M
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M
Origin Transaction Id	M

E 460 CHES to Registry SRN Reject Acknowledgment	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Holder Maintenance: Holding Advice



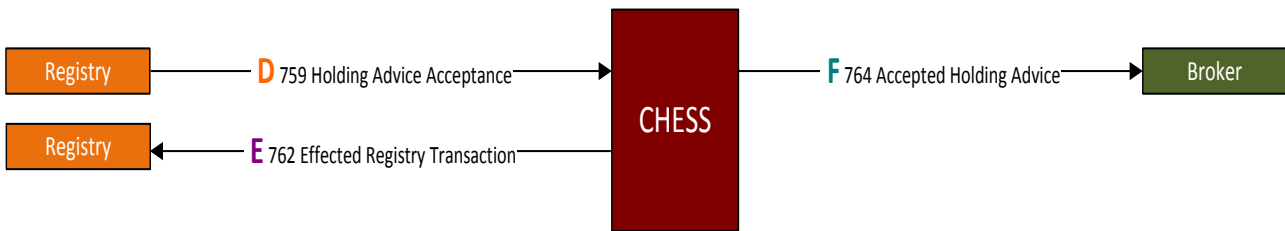
Followed by Registry acceptance or rejection of the Holding Advice notification.

A 757 Holding Advice	M / O
Fund Code	M
HIN	M
Transaction ID	M
BSB Number	O
Account Number	O
Account Name	O
Account Purpose	O
Account Cancellation	O

C 760 Holding Advice Notification	M / O
Fund Code	M
HIN	M
Target UIC	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M
BSB Number	O
FI Code	O
Account Number	O
Account Name	O
Account Purpose	O
Account Cancellation	O

B 758 Holding Advice Acknowledgement	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Holder Maintenance: Holding Advice acceptance

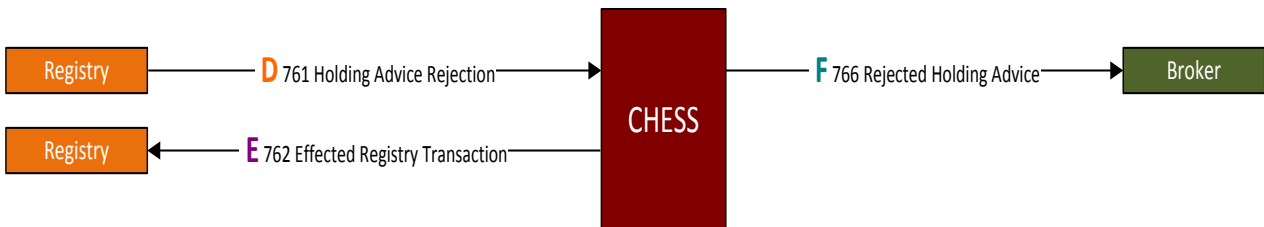


D 759 Holding Advice Acceptance	M / O
Target UIC	M
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M

F 764 Accepted Holding Advice	M / O
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M
Origin Transaction Id	M

E 762 Effected Registry Transaction	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Holder Maintenance: Holding Advice rejection

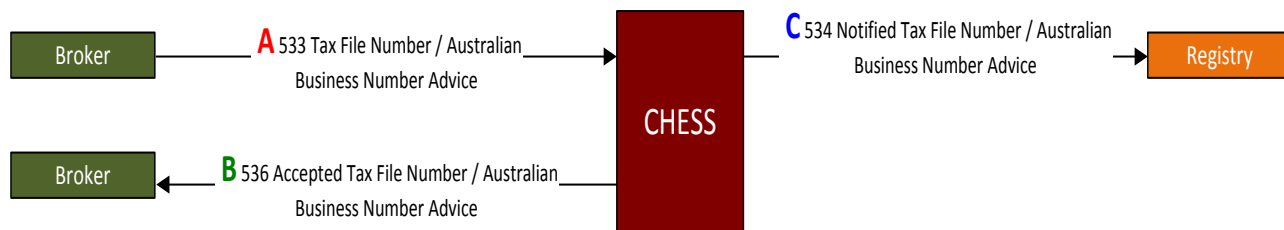


D 761 Holding Advice Rejection	M / O
Target UIC	M
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M
Rejected Holding Advice Reason	M

F 766 Rejected Holding Advice	M / O
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M
Origin Transaction Id	M
Rejected Holding Advice Reason	M

E 762 Effected Registry Transaction	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Holder Maintenance: TFN/ABN advice

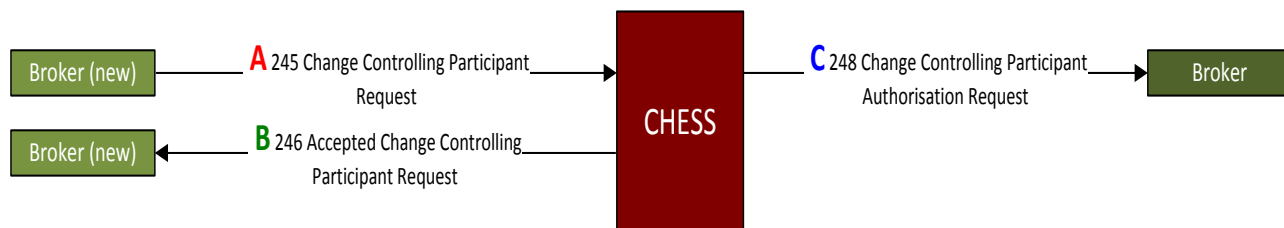


A 533 Tax File Number / Australian Business Number Advice		M / O
Fund Code		M
HIN		M
Transaction ID		M
Tax File Number / ABN 1		O
Tax File Number / ABN 2		O
Tax File Number / ABN 3		O

C 534 Notified Tax File Number / Australian Business Number Advice		M / O
Fund Code		M
HIN		M
Processing Timestamp		M
Origin Transaction Id		M
Tax File Number / ABN 1		O
Tax File Number / ABN 2		O
Tax File Number / ABN 3		O

B 536 Accepted Tax File Number / Australian Business Number Advice		M / O
Processing Timestamp		M
Transaction Id		M
Origin Transaction Id		M

Holder Maintenance: Change of Controlling Participant



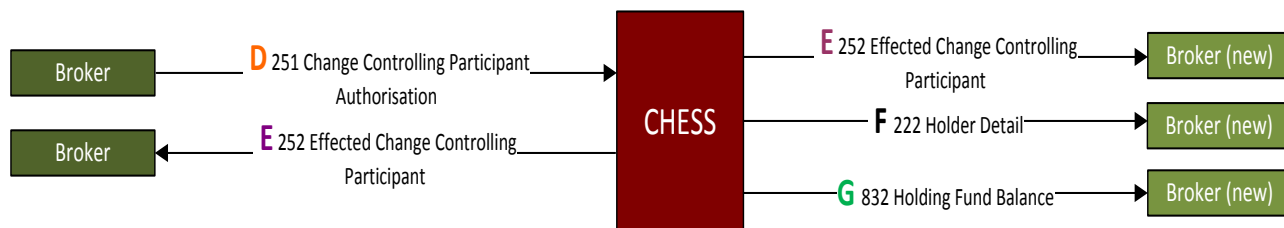
Followed by acceptance or rejection of the broker (new Sponsoring Participant) request, or the cancellation of the request by the broker (new Sponsoring Participant).

A 245 Change Controlling Participant Request	M / O
HIN	M
Controlling PID	M
Transaction ID	M

C 248 Change Controlling Participant Authorisation Request	M / O
HIN	M
Requesting Participant	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

B 246 Accepted Change Controlling Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Holder Maintenance: Change of Controlling Participant authorisation



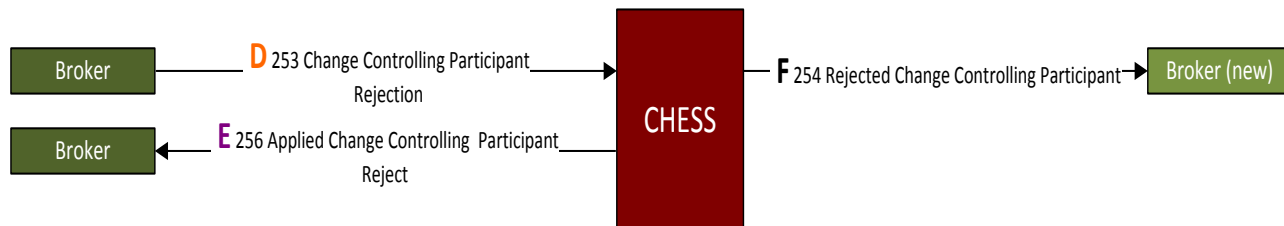
D 251 Change Controlling Participant Authorisation	M / O
Transaction Id	M
Target Transaction Id	M

E 252 Effected Change Controlling Participant	M / O
HIN	M
Old Controlling Participant	M
New Controlling Participant	M
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M
Origin Transaction Id	M

G 832 Holding Fund Balance	M / O
Fund Code	M
APIR Code	O
HIN	M
Processing Timestamp	M
Origin Transaction Id	M
Advice Reason	M
Total Fund Units on Register	M

F 222 Holder Detail	M / O
HIN	M
Holder Type	M
Controlling PID	M
Processing Timestamp	M
Statement Required	M
Registration Details	M
Origin Transaction Id	M
Entrepot Type	O
Advice Reason	M
Holder Status	O
Residency Indicator	O
Email Address	O
Email Purpose	O

Holder Maintenance: Change of Controlling Participant rejection

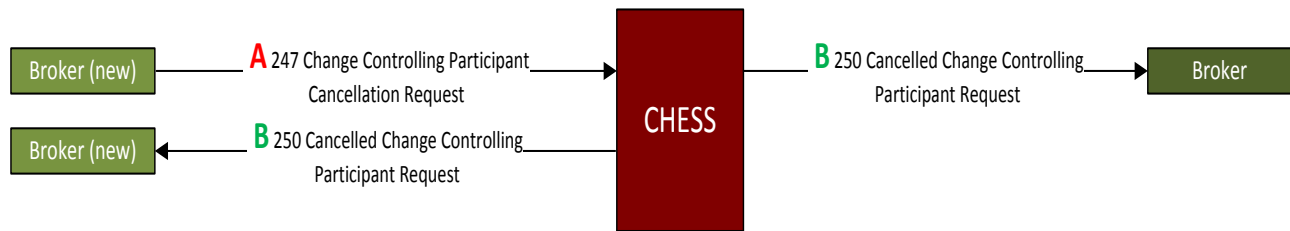


D 253 Change Controlling Participant Rejection	M / O
Transaction Id	M
Target Transaction Id	M
Rejected Change Reason	M

F 254 Rejected Change Controlling Participant	M / O
Processing Timestamp	M
Target Transaction Id	M
Origin Transaction Id	M
Rejected Change Reason	M

E 256 Applied Change Controlling Participant Reject	M / O
Processing Timestamp	M
Target Transaction Id	M
Origin Transaction Id	M
Rejected Change Reason	M

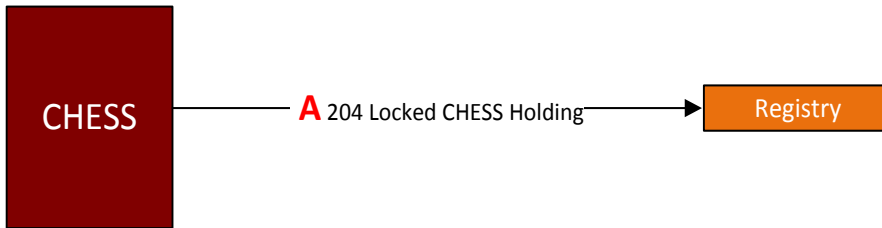
Holder Maintenance: Change of Controlling Participant cancellation



A 247 Change Controlling Participant Cancellation Request	M / O
Transaction Id	M
Target Transaction Id	M

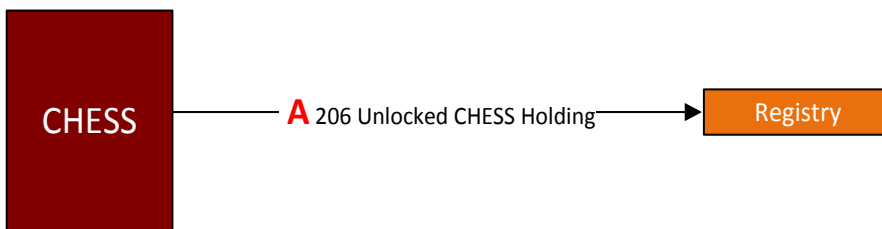
B 250 Cancelled Change Controlling Participant Request	M / O
HIN	M
Requesting Participant	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Holder Maintenance: Lock CHES holding



A 204 Locked CHES Holding	M / O
Security Code	M
HIN	M
Processing Timestamp	M
Origin Transaction ID	M

Holder Maintenance: Unlock CHES holding



A 206 Unlocked CHES Holding	M / O
Security Code	M
HIN	M
Processing Timestamp	M
Origin Transaction ID	M

Miscellaneous

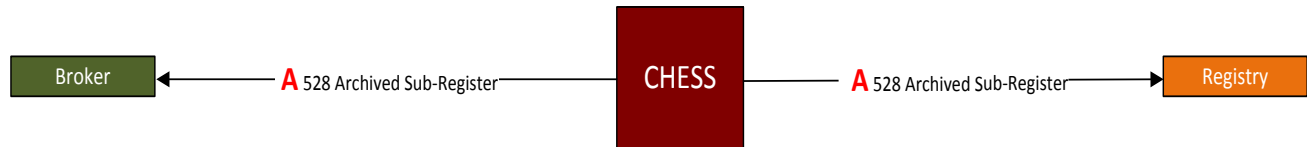
The following section describes the message suites relating to a number of miscellaneous but essential functions within CHES. The diagrams show the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

- Archive Sub-Register
- Rejected Transaction
- Invalid Transaction

Miscellaneous: Archive Sub-Register

Notified by CHES where a closed security sub-register has been archived.

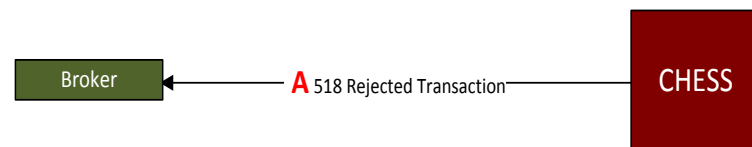
Retrieval of data from an archived security sub-register may be requested by contacting ASX C&S Operations.



A 528 Archived Sub-Register	M / O
Fund Code	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Miscellaneous: Rejected transaction

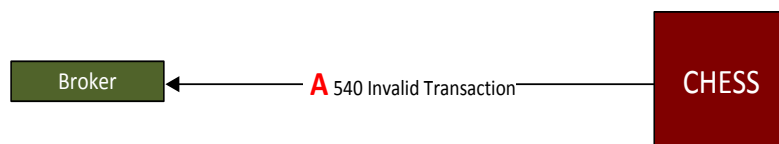
Notified by CHES where a CHES message (any CHES directed message) has been received which has validation errors.



A 518 Rejected Transaction	M / O
Processing Timestamp	M
Transaction Id	M
Rejected Reason	M
Origin Transaction Id	M

Miscellaneous: Invalid transaction

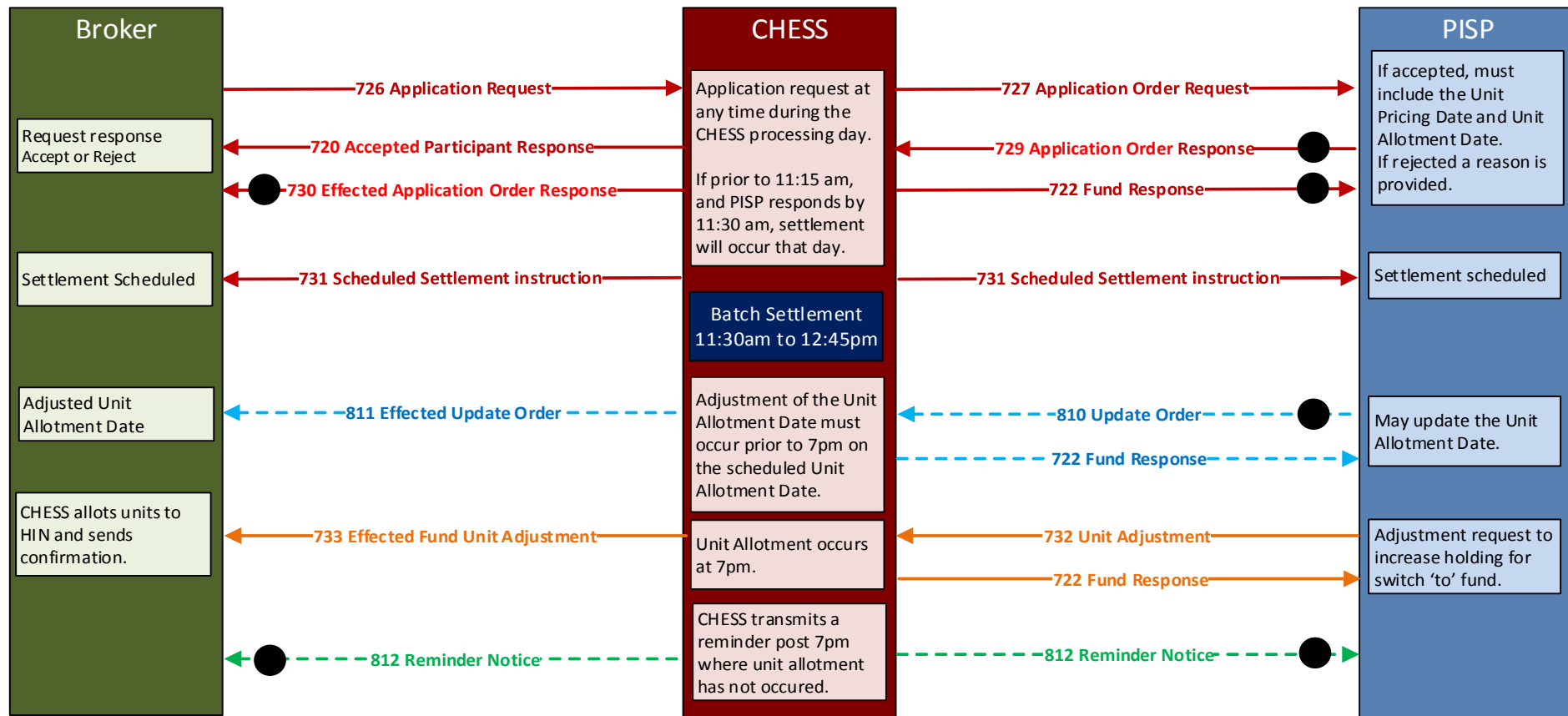
Notified by CHES where a CHES message (any CHES directed message) has been received and has such fundamental validation errors that it cannot be processed.



A 540 Invalid Transaction	M / O
Invalid Reason	M
Invalid Message Header	M

Applications

The following section describes the message suite relating to the processing of application transactions. The diagram shows the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

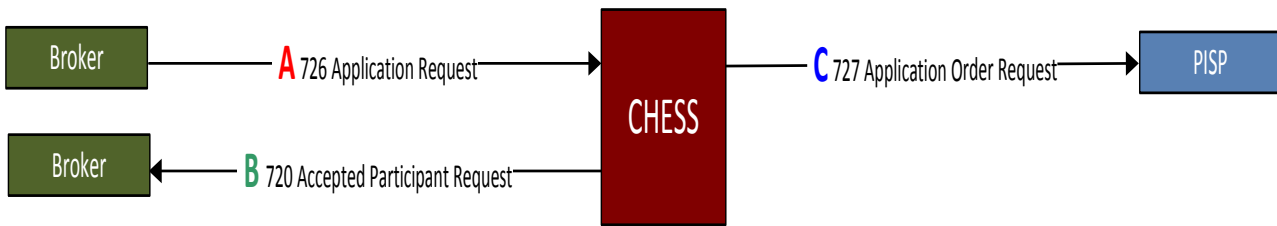


● Denotes that the indicated CHES message set may be sent/received multiple times for the same order

Line Colours denote related process flows within the function

Dashed lines denote processes that may only occur under certain circumstances

Applications: Broker request



A 726 Application Request	M / O
Fund Code	M
APIR Code	O
Fund Amount	M
HIN	O
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	O
Registration Details	O
Date of Birth 1	O
Date of Birth 2	O
Date of Birth 3	O
Tax File Number/ABN 1	O
Tax File Number/ABN 2	O
Tax File Number/ABN 3	O
Email Address	O
BSB Number	O
Account Number	O
Account Name	O
Account Purpose	O
Email Purpose	O
Product Name	O
Dealer Group Name	O
Dealer Group AFSL Number	O
Dealer Group Advisor Name	O
Dealer Group Advisor Code	O
Dealer Group Advisor Email	O
Participant Advisor Name	O
Participant Advisor Code	O
Participant Advisor Email	O
DRP Preference	O
Initial Application	M
Current PDS Provided	M
PDS Issue Date	M
AML/CTF Check Flag	M
FATCA Questions	M

B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

i Refer to *Applications: Initial Application matrix* on the following page. This outlines the data requirements and CHES validations associated with the MT726 CHES message.

i If Broker Sponsored, a HIN is to be entered. If Issuer Sponsored, a SRN is to be entered. Otherwise the Registration Details can be entered – this will indicate to the PISP that this is a new investor and an SRN must be returned.

i Where an Email Address is entered, an Email Purpose must be supplied

C 727 Application Order Request	M / O
Fund Code	M
APIR Code	O
Fund Amount	M
HIN	O
PID	M
Processing Timestamp	M
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	O
Origin Transaction Id	M
Registration Details	O
Date of Birth 1	O
Date of Birth 2	O
Date of Birth 3	O
Tax File Number/ABN 1	O
Tax File Number/ABN 2	O
Tax File Number/ABN 3	O
Email Address	O
BSB Number	O
Account Number	O
Account Name	O
Account Purpose	O
Email Purpose	O
Product Name	O
Dealer Group Name	O
Dealer Group AFSL Number	O
Dealer Group Advisor Name	O
Dealer Group Advisor Code	O
Dealer Group Advisor Email	O
Participant Advisor Name	O
Participant Advisor Code	O
Participant Advisor Email	O
DRP Preference	O
Initial Application	M
Current PDS Provided	M
PDS Issue Date	M
AML/CTF Check Flag	M
FATCA Questions	M

Applications: Initial Application matrix

Where an application is furnished by an investor and the application is the first time the investor has requested units in a particular fund, it constitutes an 'Initial Application'. Subsequent requests for units in the same fund do not require the same level of detail. 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 if broker sponsored	M if broker sponsored
Supplementary Reference	M	M
Transaction Id	M	M
Security Holder Reference Number	M if issuer sponsored	M if issuer sponsored
Registration Details	M if neither broker or issuer sponsored	not applicable (HIN or SRN must be used)
Date of Birth 1	M if Investor Type = 'I' Refer Investor validation	amendment if included
Tax File Number/ABN 1	M for Investor Type Refer Investor validation	amendment if included
Date of Birth 2	Refer Investor validation	amendment if included
Tax File Number/ABN 2	Refer Investor validation	amendment if included
Date of Birth 3	Refer Investor validation	amendment if included
Tax File Number/ABN 3	Refer Investor validation	amendment if included
DRP Preference	M	amendment if included
BSB Number	M if DRP Preference = 'N'	M if DRP Preference = 'N'
Account Number	M if DRP Preference = 'N'	M if DRP Preference = 'N'
Account Name	M if DRP Preference = 'N'	M if DRP Preference = 'N'
Account Purpose	M if DRP Preference = 'N'	M if DRP Preference = 'N'
AML/CTF Check Flag	M	M
Current PDS Provided	M	M
PDS Issue Date	M	M
FATCA Questions	M	M
Initial Application	M must be 'Y'	M must be 'N'

Applications: Investor validation

Applications allow up to 3 instances of entities (investor details) to be recorded for ownership and domestic tax purposes. At least one instance must be supplied.

The Investor Type component (12th character) of the Tax File Number within the 'Tax File Number/ABN' field is mandatory for the first instance. Refer *Appendix 4* to view valid Investor Types.

'Date of Birth' is not a mandatory value as only individuals (Investor Types 'I' or 'D') require a date of birth.

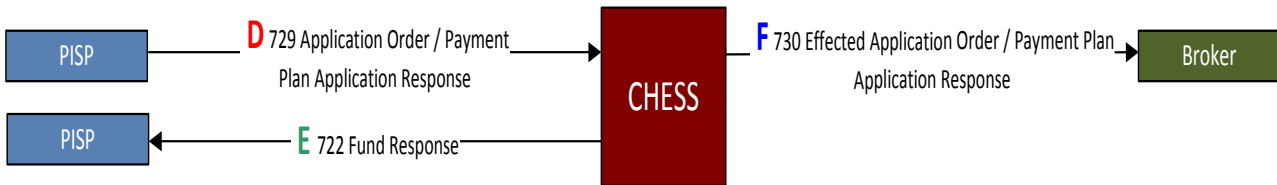
For an initial application CHESS will validate and ensure that:

- 'Investor Type' component of the Tax File Number within the 'Tax File Number/ABN' field is included.
- If the 'Investor Type' component of the Tax File Number within the 'Tax File Number/ABN' field equals 'I' or 'D', then 'Date of Birth' is included.
For additional instances, if either
 - 'Date of Birth' or 'Investor Type' component of the Tax File Number within the 'Tax File Number/ABN' field are present then same validation as above.
- 'DRP Preference' is included.
 - Where 'DRP Preference' is N (signifying cash), the following Bank Account details must be populated:
 - BSB Number
 - Account Number
 - Account Name
 - Account Purpose
- Where an Email Address is entered, an Email Purpose must be supplied.

Applications: PISP response

Multiple iterations of the MT729 message may need to be sent by the PISP to achieve order completion; refer to *Applications: Completion Criteria*.

It is important that unit allotment does not occur prior to full completion details (via MT729) being furnished.



D 729 Application Order / Payment Plan Application Response	M / O
Fund Code	M
APIR Code	O
Fund Amount	M
HIN	O
PID	M
Processing Time stamp	M
Transaction Status ¹	M
Transaction Id	M
Security Holder Reference Number	O
Rejected Order Reason ²	O
Origin Transaction Id	M
Unit Price	O
Order Reference	O
Order Type ³	M
Number of Units	O
Unit Pricing Date	O
Fees	O
Unit Allotment Date	O

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

F 730 Effected Application Order / Payment Plan Application Response	M / O
Fund Code	M
APIR Code	O
Fund Amount	M
HIN	O
Processing Time stamp	M
Transaction Status	M
Transaction Id	M
Security Holder Reference Number	O
Rejected Order Reason	O
Origin Transaction Id	M
Unit Price	O
Order Reference	O
Order Type	M
Number of Units	O
Unit Pricing Date	O
Fees	O
Unit Allotment Date	O

i MT729: Unit Pricing Date and Unit Allotment Date must be included where request is accepted.

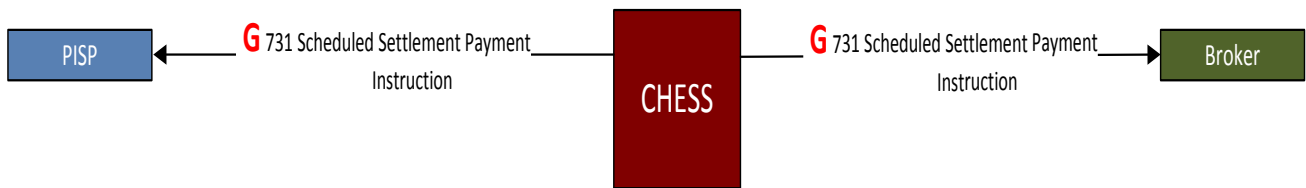
i MT729: Where only Registration Detail are supplied the PISP is expected to return a SRN.

¹ Transaction Status must be 'A' (Accepted) or 'R' (Rejected).

² Rejected Order Reason must be populated where Transaction Status = 'R'.

³ Order Type must be 'APP' (Application).

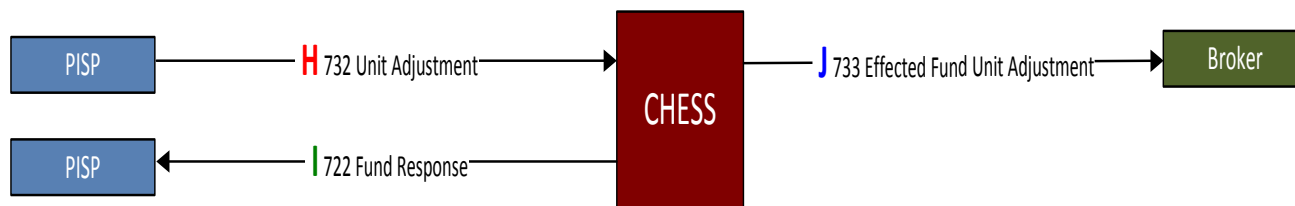
Applications: Settlement payment



G 731 Scheduled Settlement Payment Instruction	M / O
Fund Code	M
APIR Code	O
Settlement Amount	M
Settlement Date	M
Payment HIN	M
Paying PID	M
Receiving PID	M
Processing Timestamp	M
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Origin Transaction Id	M
Order Reference	O

Applications: Post Settlement – mFund unit allocation

Does not apply to Issuer Sponsored holders.



H 732 Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
PID	O
Fund Reason ⁴	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Adjustment Units	M

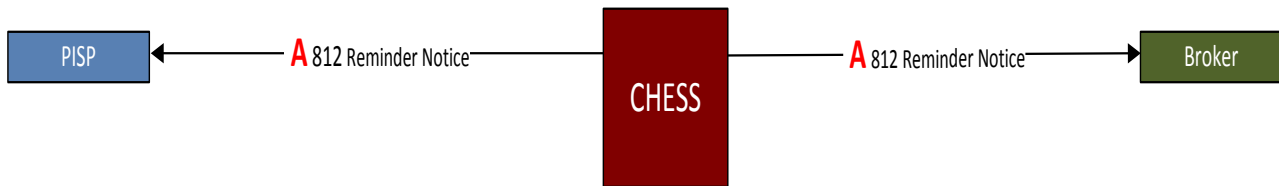
I 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

J 733 Effected Fund Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
Fund Reason	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Effected Timestamp	M
Registry Reference	O
Adjustment Units	M
New Fund Holding Balance	M

⁴ Fund Reason must be 'APP' (Application).

Applications: Post Settlement – mFund unit allocation reminder

Transmitted by CHES at 7PM on the PISP nominated Allotment Date if unit allocation has not occurred.



A 812 Reminder Notice	M / O
Fund Code	M
APIR Code	O
HIN	M
PID	O
Transaction Id	M
Target Transaction Id	M
Total Reminder Count	M
Number of Units	O
Unit Allotment Date	M

Applications: Completion criteria

Where a PISP responds to an Application order request, the response may be an acceptance or a rejection. Where rejection is returned only one iteration of the MT729 message is required. Where acceptance is returned, not all order related data may be available to the PISP at the time of responding. This may necessitate that the MT729 be sent to CHES multiple times to build up a completed transaction data set.

The table below details what data is required to be populated to achieve order completion.

(M)andatory and (O)ptional are used to denote whether the value is required.

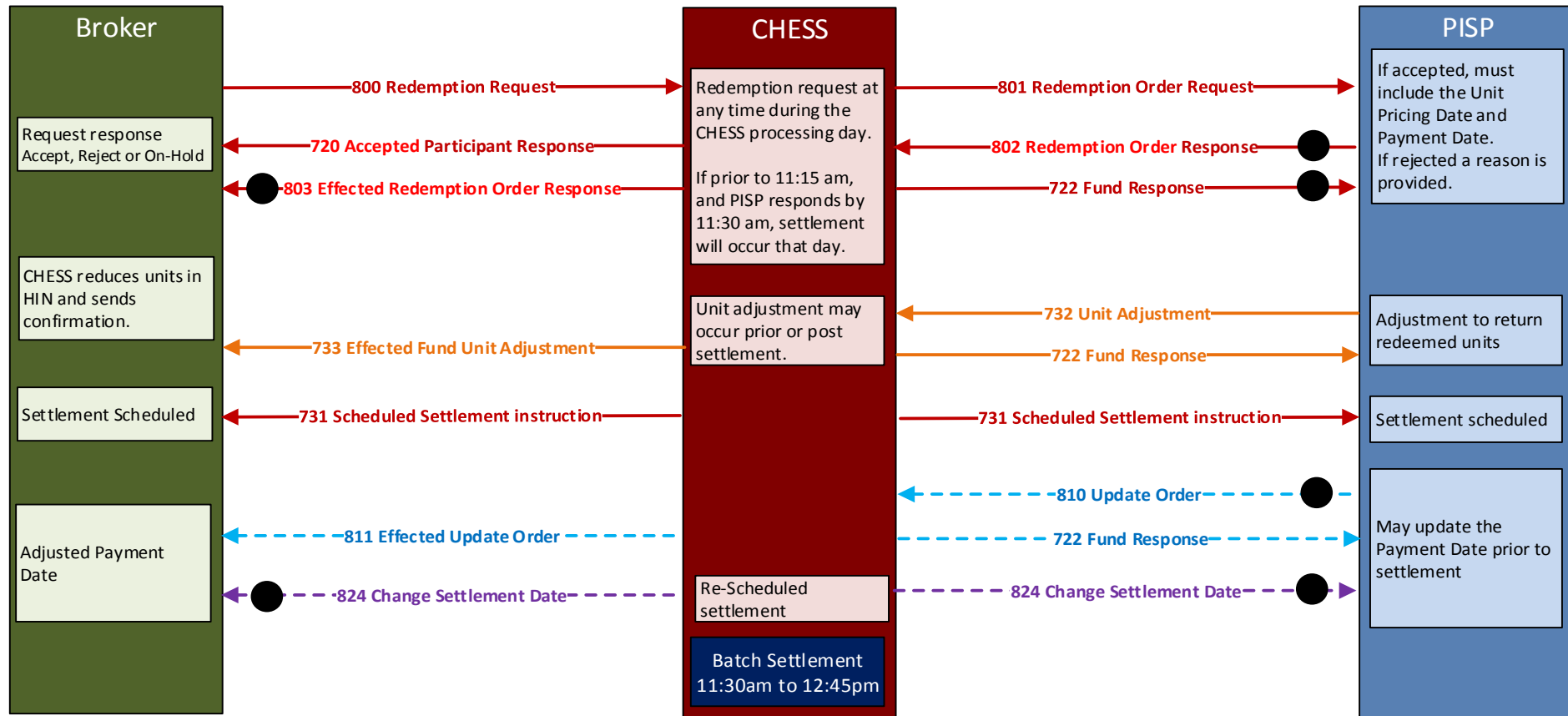
MT729 Application Order Response		
Field Name	Initial Response	Subsequent Response
Fund Code	M	M
APIR Code	O	O
Fund Amount	M	M
HIN	M if HIN on request	M if HIN
PID	M	M
Processing Timestamp	M	M
Transaction Status	M	M
Transaction Id	M	M
Security Holder Reference Number	M if SRN on request or populate where only Registration Details passed through on the MT726 request	M if SRN
Rejected Order Reason	M where rejected	n/a
Origin Transaction Id	M	M
Unit Price	O	M
Order Reference	O	O
Order Type	M	M
Number of Units	O	M
Unit Pricing Date	M where accepted	O
Fees	O	O
Unit Allotment Date	M where accepted	O

An Application order request is deemed to be complete, when:

- SRN or Registration Details furnished
All mandatory data is complete and payment through Batch Settlement is complete.
- HIN furnished
All mandatory data is complete, payment through Batch Settlement is complete and unit allotment has occurred.

Redemptions

The following section describes the message suite relating to the processing of redemption transactions. The diagram shows the message interactions between participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

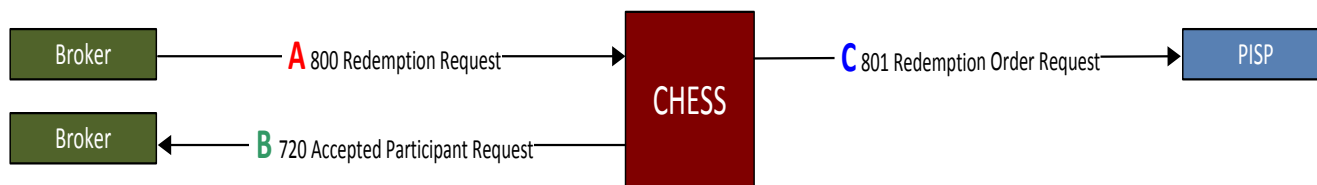


● Denotes that the indicated CHES message set may be sent/received multiple times for the same order

Line Colours denote related process flows within the function

Dashed lines denote processes that may only occur under certain circumstances

Redemptions: Broker request



A 800 Redemption Request	M / O
Fund Code	M
APIR Code	O
Fund Amount	O
HIN	O
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	O
Number of Units	O
Product Name	O
Nett or Gross	M
Redemption Request Reason	O
Dealer Group Name	O
Dealer Group AFSL Number	O
Dealer Group Advisor Name	O
Dealer Group Advisor Code	O
Dealer Group Advisor Email	O
Participant Advisor Name	O
Participant Advisor Code	O
Participant Advisor Email	O
Full Redemption	M
AML/CTF Check Flag	M
FATCA Questions	M

C 801 Redemption Order Request	M / O
Fund Code	M
APIR Code	O
Fund Amount	O
HIN	O
PID	M
Processing Timestamp	M
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	O
Origin Transaction Id	M
Number of Units	O
Product Name	O
Nett or Gross	M
Redemption Request Reason	O
Dealer Group Name	O
Dealer Group AFSL Number	O
Dealer Group Advisor Name	O
Dealer Group Advisor Code	O
Dealer Group Advisor Email	O
Participant Advisor Name	O
Participant Advisor Code	O
Participant Advisor Email	O
Full Redemption	M
AML/CTF Check Flag	M
FATCA Questions	M

B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

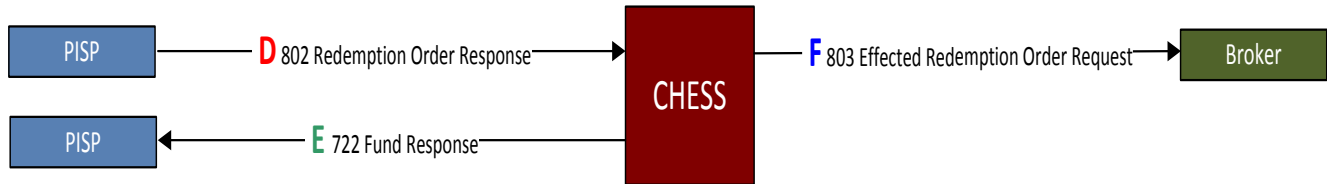


MT800: If Broker Sponsored, a HIN is to be entered
If Issuer Sponsored, a SRN is to be entered.

Redemptions: PISP response

Multiple iterations of the MT802 message may need to be sent by the PISP to achieve order completion; refer to *Redemptions: Completion Criteria*.

It is important that unit adjustment does not occur prior to full completion details (via MT802) being furnished.



D 802 Redemption Order Response	M / O
Fund Code	M
APIR Code	O
Fund Amount	O
HIN	O
PID	M
Processing Time stamp	M
Transaction Status ⁵	M
Hold Reason ⁶	O
Transaction Id	M
Security Holder Reference Number	O
Rejected Order Reason ⁷	O
Origin Transaction Id	M
Unit Price	O
Order Reference	O
Income	O
Tax Deducted	O
Nett or Gross	M
Number of Units	O
Unit Pricing Date	O
Fees	O
Payment Date	O

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

F 803 Effected Redemption Order Request	M / O
Fund Code	M
APIR Code	O
Fund Amount	O
HIN	O
Processing Time stamp	M
Transaction Status	M
Hold Reason	O
Transaction Id	M
Security Holder Reference Number	O
Rejected Order Reason	O
Origin Transaction Id	M
Unit Price	O
Order Reference	O
Income	O
Tax Deducted	O
Nett or Gross	M
Number of Units	O
Unit Pricing Date	O
Fees	O
Payment Date	O

i *MT802*: Unit Pricing Date and Payment Date must be included where the request is accepted.

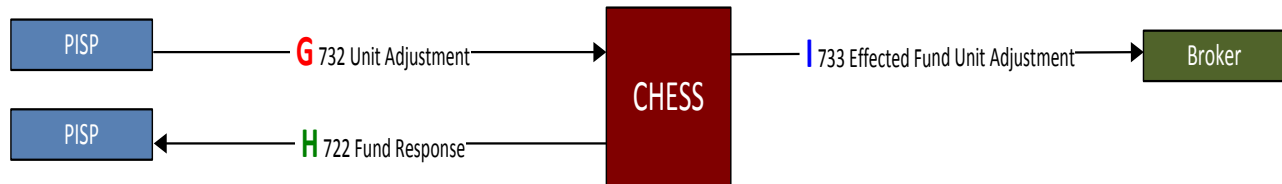
⁵ Transaction Status may be either 'A' (Accepted), 'R' (Rejected) or 'H' (On-hold).

⁶ Hold Reason must be populated where Transaction Status = 'H'.

⁷ Rejected Order Reason must be populated where Transaction Status = 'R'.

Redemptions: Adjustment of mFund units

Does not apply to Issuer Sponsored holders.



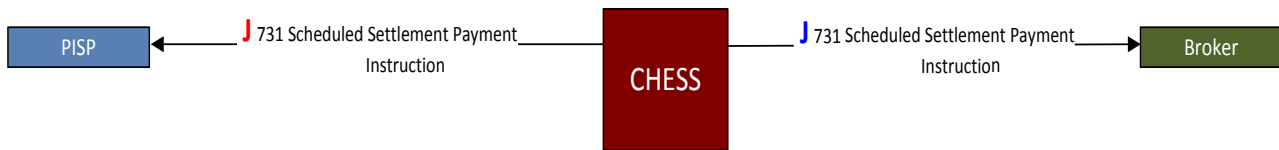
G 732 Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
PID	O
Fund Reason ⁸	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Adjustment Units	M

I 733 Effected Fund Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
Fund Reason	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Effected Timestamp	M
Registry Reference	O
Adjustment Units	M
New Fund Holding Balance	M

H 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

⁸ Fund Reason must be 'RED' (Redemption).

Redemptions: Settlement payment



J 731 Scheduled Settlement Payment Instruction	M / O
Fund Code	M
APIR Code	O
Settlement Amount	M
Settlement Date	M
Payment HIN	M
Paying PID	M
Receiving PID	M
Processing Timestamp	M
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Origin Transaction Id	M
Order Reference	O

Redemptions: Completion criteria

Where a PISP responds to a Redemption order request, the response may be an acceptance, a rejection or the order may be placed 'On-Hold'. Where rejection is returned only one iteration of the MT802 message is required. Where acceptance is returned, not all order related data may be available to the PISP at the time of responding. This may necessitate that the MT802 be sent to CHES multiple times to build up a completed transaction data set.

The table below details what data is required to be populated to achieve order completion.

(M)andatory and (O)ptional are used to denote whether the value is required.

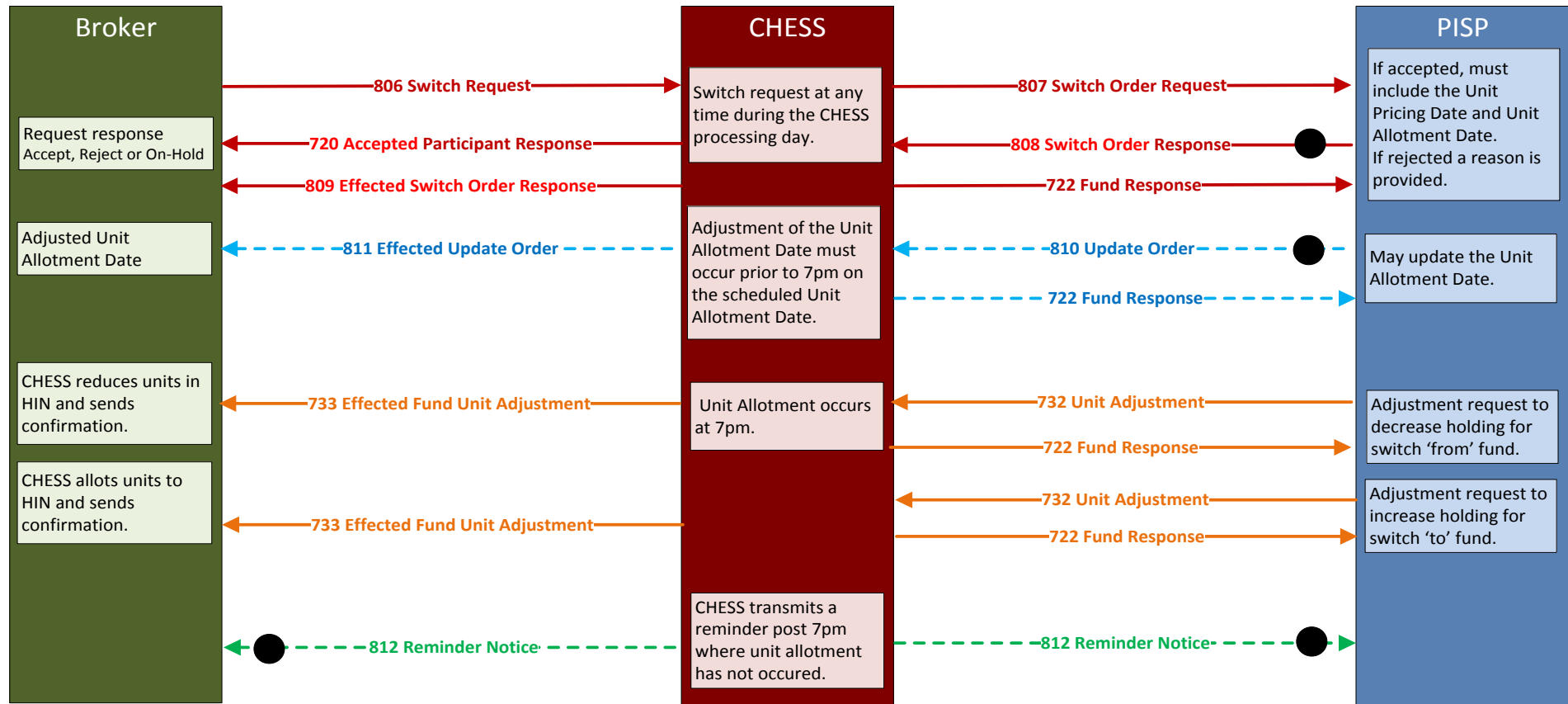
MT802 Redemption Order Response		
Field Name	Initial Response	Subsequent Response
Fund Code	M	M
APIR Code	O	O
Fund Amount	M if Amount in MT800 request	M if no Amount in MT800 request
HIN	M if HIN on request	M if HIN
PID	M	M
Processing Timestamp	M	M
Transaction Status	M	M
Hold Reason	M where request put on-hold	n/a
Transaction Id	M	M
Security Holder Reference Number	M if SRN on request	M if SRN
Rejected Order Reason	M where rejected	n/a
Origin Transaction Id	M	M
Unit Price	O	M
Order Reference	O	O
Income	O	O
Tax Deducted	O	O
Nett or Gross	M	O
Number of Units	M if in MT800 request	M if no Number of Units in MT800 request
Unit Pricing Date	M where accepted	O
Fees	O	O
Payment Date	M where accepted	O

A Redemption order request is deemed to be complete, when:

- SRN furnished
All mandatory data is complete and payment through Batch Settlement is complete.
- HIN furnished
All mandatory data is complete, payment through Batch Settlement is complete and unit redemption has occurred.

Switches

The following section describes the message suite relating to the processing of switch transactions. The diagram shows the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

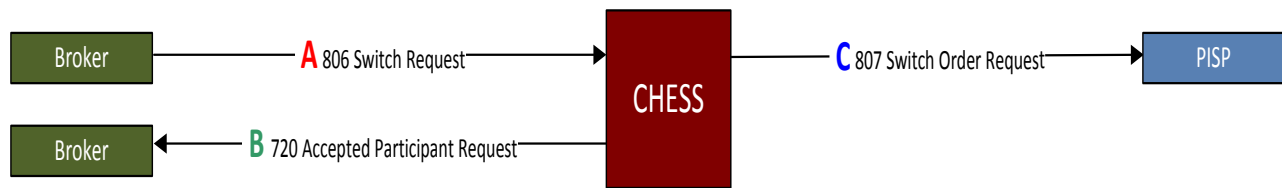


● Denotes that the indicated CHES message set may be sent/received multiple times for the same order

Line Colours denote related process flows within the function

Dashed lines denote processes that may only occur under certain circumstances

Switches: Broker request



A 806 Switch Request	M / O
Redemption Fund Code	M
Redemption APIR Code	O
Fund Amount	O
Application Fund Code	M
Application APIR Code	O
HIN	O
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	O
Units Redeemed	O
Redemption Product Name	O
Application Product Name	O
Nett or Gross	M
Dealer Group Name	O
Dealer Group AFSL Number	O
Dealer Group Advisor Name	O
Dealer Group Advisor Code	O
Dealer Group Advisor Email	O
Participant Advisor Name	O
Participant Advisor Code	O
Participant Advisor Email	O
Full Switch	M
Current PDS Provided	M
PDS Issue Date	M
AML/CTF Check Flag	M
FATCA Questions	M

B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

C 807 Switch Order Request	M / O
Redemption Fund Code	M
Redemption APIR Code	O
Fund Amount	O
Application Fund Code	M
Application APIR Code	O
HIN	O
PID	M
Processing Timestamp	M
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	O
Origin Transaction Id	M
Units Redeemed	O
Redemption Product Name	O
Application Product Name	O
Nett or Gross	M
Dealer Group Name	O
Dealer Group AFSL Number	O
Dealer Group Advisor Name	O
Dealer Group Advisor Code	O
Dealer Group Advisor Email	O
Participant Advisor Name	O
Participant Advisor Code	O
Participant Advisor Email	O
Full Switch	M
Current PDS Provided	M
PDS Issue Date	M
AML/CTF Check Flag	M
FATCA Questions	M



MT806: If Broker Sponsored, a HIN is to be entered
If Issuer Sponsored, a SRN may be entered

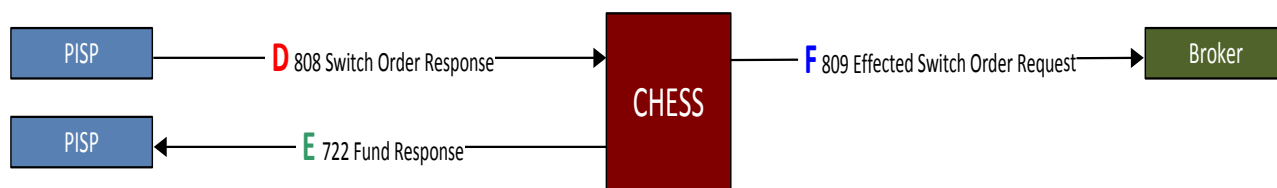


Switches may only occur between funds issued by the same Product Issuer

Switches: PISP response

Multiple iterations of the MT808 message may need to be sent by the PISP for order completion; refer to *Switches: Completion Criteria*.

It is important that unit allotment does not occur prior to full completion details (via MT808) being furnished.



D 808 Switch Order Response	M / O
Redemption Fund Code	M
Redemption APIR Code	O
Fund Amount	O
Application Fund Code	M
Application APIR Code	O
HIN	O
PID	M
Processing Timestamp	M
Transaction Status ⁹	M
Hold Reason ¹⁰	O
Transaction Id	M
Security Holder Reference Number	O
Rejected Order Reason ¹¹	O
Origin Transaction Id	M
Redemption Unit Price	O
Order Reference	O
Income	O
Tax Deducted	O
Nett or Gross	M
Units Redeemed	O
Application Unit Price	O
Application Unit Pricing Date	O
Fees	O
Application Units	O
Unit Allotment Date	O
Redemption Unit Pricing Date	O

F 809 Effected Switch Order Request	M / O
Redemption Fund Code	M
Redemption APIR Code	O
Fund Amount	O
Application Fund Code	M
Application APIR Code	O
HIN	O
Processing Timestamp	M
Transaction Status	M
Hold Reason	O
Transaction Id	M
Security Holder Reference Number	O
Rejected Order Reason	O
Origin Transaction Id	M
Redemption Unit Price	O
Order Reference	O
Income	O
Tax Deducted	O
Nett or Gross	M
Units Redeemed	O
Application Unit Price	O
Application Unit Pricing Date	O
Fees	O
Application Units	O
Unit Allotment Date	O
Redemption Unit Pricing Date	O

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

i *MT808*: Unit Pricing Date (for both Application and Redemption legs) and Unit Allotment Date must be included where the request is accepted

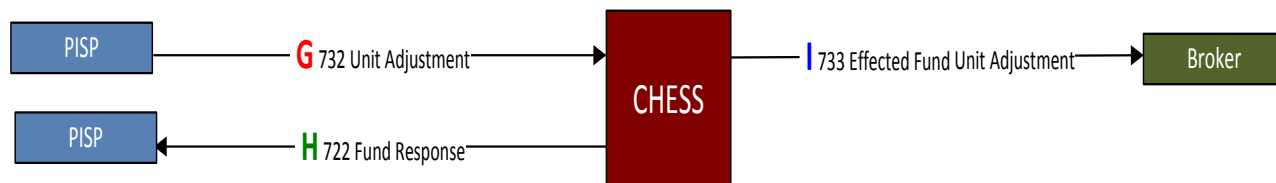
⁹ Transaction Status may be either 'A' (Accepted), 'R' (Rejected) or 'H' (On-hold).

¹⁰ Hold Reason must be populated where Transaction Status = 'H'.

¹¹ Rejected Order Reason must be populated where Transaction Status = 'R'.

Switches: Adjustment of mFund units - Redemption

Does not apply to Issuer Sponsored holders.



G 732 Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
PID	O
Fund Reason ¹²	M
Increase or Decrease ¹³	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Adjustment Units	M

I 733 Effected Fund Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
Fund Reason	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Effected Timestamp	M
Registry Reference	O
Adjustment Units	M
New Fund Holding Balance	M

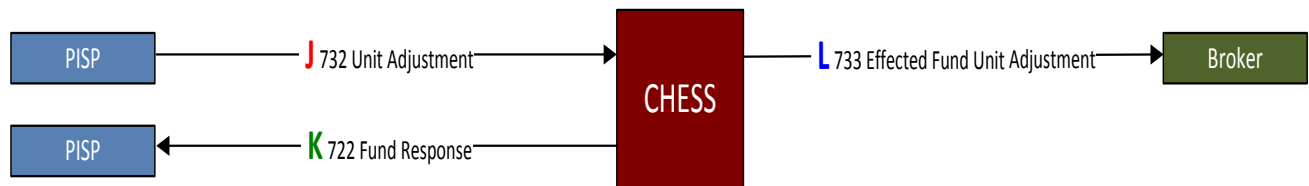
H 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

¹² Fund Reason must be 'SWI' (Switch).

¹³ Increase or Decrease must be '+-'.

Switches: Adjustment of mFund units - Application

Does not apply to Issuer Sponsored holders.



J 732 Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
PID	O
Fund Reason ¹⁴	M
Increase or Decrease ¹⁵	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Adjustment Units	M

L 733 Effected Fund Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
Fund Reason	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Effected Timestamp	M
Registry Reference	O
Adjustment Units	M
New Fund Holding Balance	M

K 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

¹⁴ Fund Reason must be 'SWI' (Switch).

¹⁵ Increase or Decrease must be '+'.

Switches: Completion criteria

Where a PISP responds to a Switch order request, the response may be an acceptance, a rejection, or the order may be placed 'On-Hold'. Where rejection or 'On-Hold' is returned only one iteration of the MT808 message is required. Where acceptance is returned, not all order related data may be available to the PISP at the time of responding. This may necessitate that the MT808 be sent to CHES multiple times to build up a completed transaction data set.

The table below details what data is required to be populated to achieve order completion.

(M)andatory and (O)ptional are used to denote whether the value is required.

808 Switch Order Response		
Field Name	Initial Response	Subsequent Response
Redemption Fund Code	M	M
Redemption APIR Code	O	O
Application Fund Code	M	M
Application APIR Code	O	O
Fund Amount	M if Amount in MT806 request	M if no Amount in MT806 request
HIN	M if HIN on request	M if HIN
PID	M	M
Processing Timestamp	M	M
Transaction Status	M	M
Hold Reason	M where request put on-hold	n/a
Transaction Id	M	M
Security Holder Reference Number	M if SRN on request	M if SRN
Rejected Order Reason	M where rejected	n/a
Origin Transaction Id	M	M
Order Reference	O	O
Income	O	O
Tax Deducted	O	O
Fees	O	O
Nett or Gross	M	O
Application Unit Price	O where accepted	M
Application Unit Pricing Date	M where accepted	O
Application Units	O where accepted	M
Unit Allotment Date	M where accepted	O
Redemption Unit Price	O	M
Redemption Unit Pricing Date	M where accepted	O
Units Redeemed	M if in MT806 request	M if no Units Redeemed in MT806 request

An Switch order request is deemed to be complete, when:

- SRN furnished
All mandatory data is complete.
- HIN furnished
All mandatory data is complete, unit redemption from the Redemption Fund Code and unit allotment to the Application Fund Code has occurred

Order Maintenance

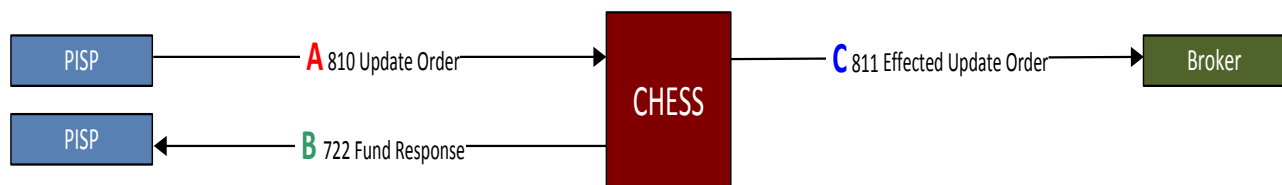
The following section describes the message suites relating to the processing of order maintenance transactions. The diagrams show the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

- Cancellation of an Order
- Cancellation of an 'On Hold' Order
- Update Unit Allotment Date or Payment Date
- Miscellaneous Adjustment
- Reversal of an Order

Order Maintenance: Cancellation request

Applies to Applications, Redemptions and Switches.

Order cancellation may occur at any time pre or post settlement. If post settlement, movement of funds must occur outside of CHES. For Broker Sponsored holdings, Unit Adjustments can be made using the Miscellaneous Adjustment message suite.



A 810 Update Order	M / O
PID	M
Processing Timestamp	M
Transaction Status ¹⁶	M
Cancel Reason ¹⁷	O
Transaction Id	M
Target Transaction Id	M
Rejected Order Reason ¹⁸	O
Order Type ¹⁹	M
Unit Allotment Date	O
Payment Date	O

C 811 Effected Update Order	M / O
Processing Timestamp	M
Transaction Status	M
Cancel Reason	O
Transaction Id	M
Target Transaction Id	M
Rejected Order Reason	O
Order Type	M
Unit Allotment Date	O
Payment Date	O

B 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

¹⁶ Transaction Status must be 'C' (Cancel Order).

¹⁷ Cancel Reason must be 'OCF'.

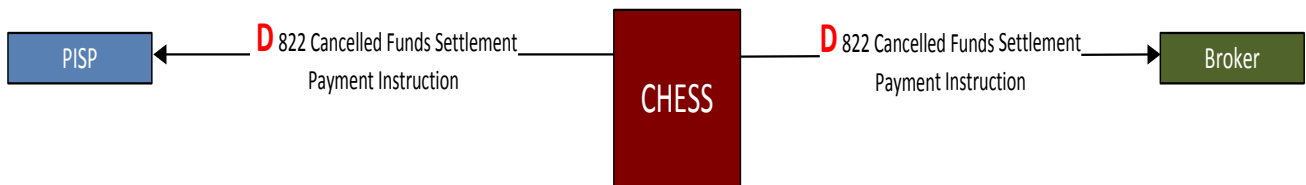
¹⁸ No Rejected Order Reason is required.

¹⁹ Order Type must contain either 'APP' (Application), 'RED' (Redemption) or 'SWI' (Switch) depending on the order being cancelled.

Order Maintenance: Payment settlement cancellation

Applies only where an order is cancelled after a Scheduled Settlement Instruction (MT731) has been created and prior to settlement.

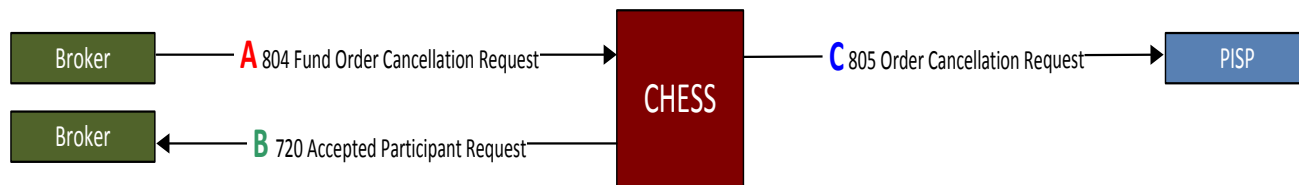
Applies to Applications and Redemptions.



D 822 Cancelled Funds Settlement Payment Instruction		M / O
Fund Code		M
APIR Code		O
Settlement Amount		M
Settlement Date		M
Payment HIN		M
Paying PID		M
Receiving PID		M
Processing Timestamp		M
Transaction Id		M
Origin Transaction Id		M

Order Maintenance: 'On Hold' cancellation

Applies to Redemptions and Switches.



A 804 Fund Order Cancellation Request	M / O
Transaction Id	M
Target Transaction Id	M

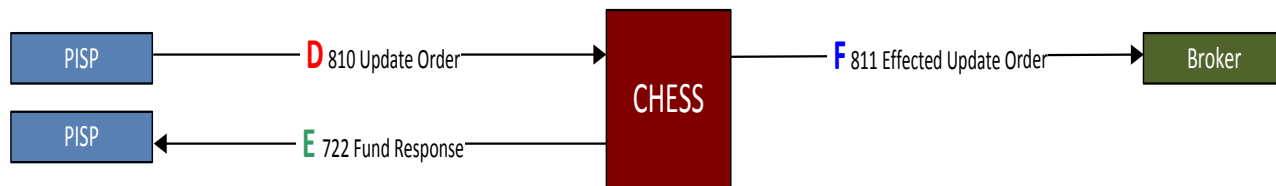
C 805 Order Cancellation Request	M / O
PID	M
Processing Timestamp	M
Transaction Id	M
Target Transaction Id	M
Order Type ²⁰	M

B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id ²¹	M
Origin Transaction Id	M

²⁰ Order Type will contain either 'RED' (Redemption) or 'SWI' (Switch).

²¹ Transaction Status must be 'H' (On-hold) for 804 Target Transaction ID.

Order Maintenance: ‘On Hold’ cancellation PISP response



D 810 Update Order	M / O
PID	M
Processing Timestamp	M
Transaction Status ²²	M
Cancel Reason ²³	O
Transaction Id	M
Target Transaction Id	M
Rejected Order Reason ²⁴	O
Order Type ²⁵	M
Unit Allotment Date	O
Payment Date	O

F 811 Effected Update Order	M / O
Processing Timestamp	M
Transaction Status	M
Cancel Reason	O
Transaction Id	M
Target Transaction Id	M
Rejected Order Reason	O
Order Type	M
Unit Allotment Date	O
Payment Date	O

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

²² Transaction Status may be either ‘A’ (Accepted) or ‘R’ (Rejected).

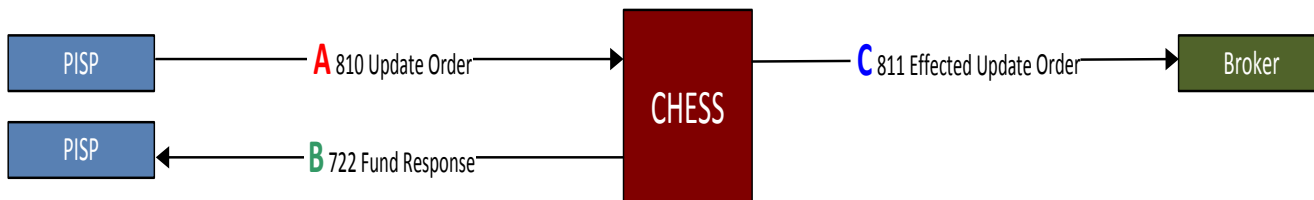
²³ No Cancel Reason is required.

²⁴ Rejected Order Reason must be populated where request is rejected.

²⁵ Order Type must contain either ‘RED’ (Redemption) or ‘SWI’ (Switch).

Order Maintenance: Unit Allotment Date / Payment Date update

Allows the PISP to modify the Unit Allotment Date for Applications and Switches, and the Payment Date for Redemptions.



A 810 Update Order	M / O
PID	M
Processing Timestamp	M
Transaction Status ²⁶	M
Cancel Reason ²⁷	O
Transaction Id	M
Target Transaction Id	M
Rejected Order Reason ²⁸	O
Order Type ²⁹	M
Unit Allotment Date	O
Payment Date	O

C 811 Effected Update Order	M / O
Processing Timestamp	M
Transaction Status	M
Cancel Reason	O
Transaction Id	M
Target Transaction Id	M
Rejected Order Reason	O
Order Type	M
Unit Allotment Date	O
Payment Date	O

B 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

²⁶ Transaction Status must be 'U' (Update Payment or Unit Allotment Date).

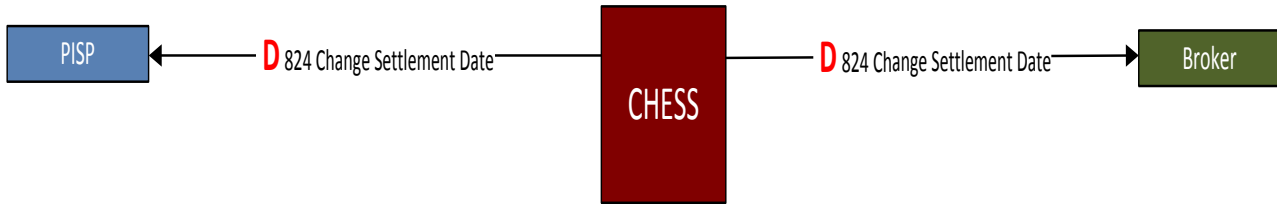
²⁷ No Cancel Reason is required.

²⁸ No Rejected Order Reason is required.

²⁹ Order Type must contain either 'APP' (Application), 'RED' (Redemption) or 'SWI' (Switch).

Order Maintenance: Settlement Date update

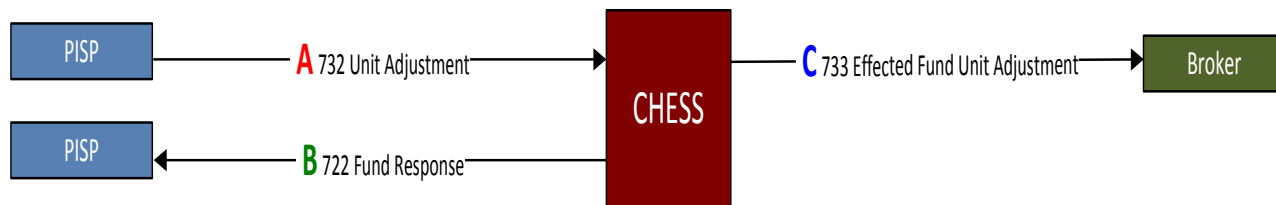
Applies to Redemptions only where the Payment Date has been modified using the MT810 Update Order.



D 824 Change Settlement Date	M / O
Settlement Date	M
Payment HIN	M
Paying PID	M
Receiving PID	M
Transaction Id	M
Target Transaction Id	M

Order Maintenance: Miscellaneous adjustment

Allows the PISP to make adjustments to an investor’s holding. A valid Fund Reason must be provided. Does not apply to Issuer Sponsored holders.



A 732 Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
PID	O
Fund Reason ³⁰	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Adjustment Units	M

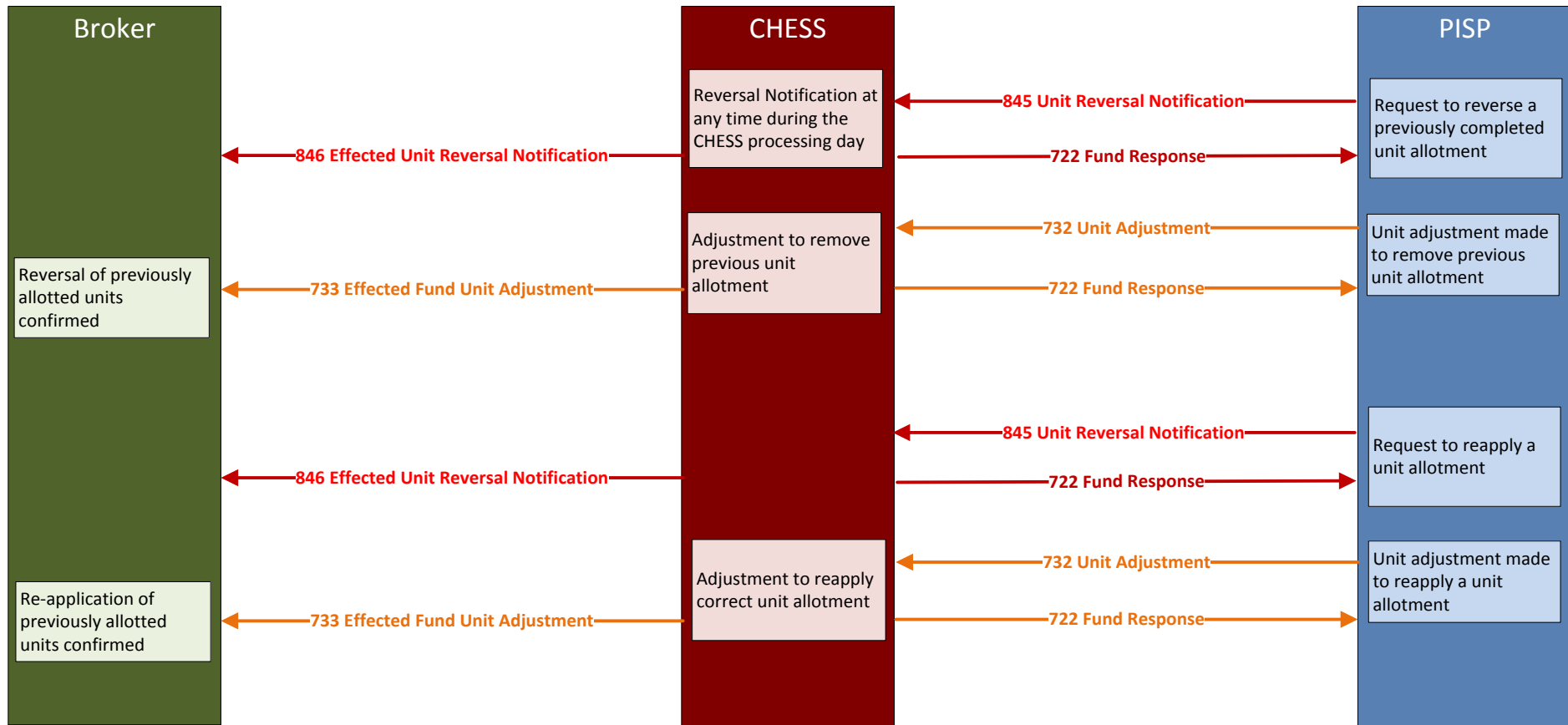
C 733 Effected Fund Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
Fund Reason	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Effected Timestamp	M
Registry Reference	O
Adjustment Units	M
New Fund Holding Balance	M

B 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

³⁰ Fund Reason must be 'ADJ' (Adjustment).

Order Reversal

The following section describes the message suites relating to the processing of order reversal transactions. The diagram shows the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

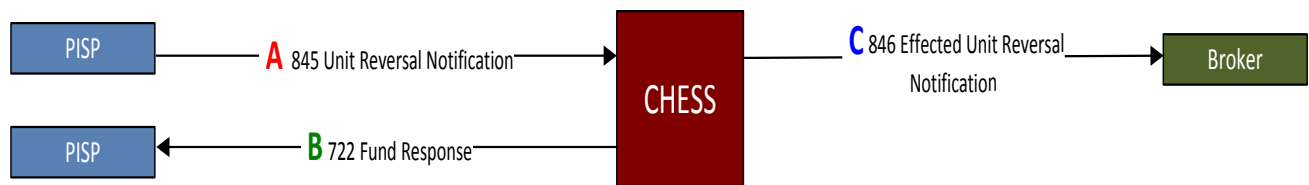


Line Colours denote related process flows within the function

Order Maintenance: Reversal notification

This function is to rectify transactions, initiated by the PISP post order completion, by initiating unit adjustments. All reversals must be run as two sets of transactions; one to reverse the original order and one to reapply the correct unit values.

Applies to Applications, Redemptions and Switches. For Switches this message suite may apply to each leg of a Switch.



A 845 Unit Reversal Notification	M / O
Fund Code	M
APIR Code	O
HIN	O
PID	M
Transaction Status ³¹	M
Transaction Id	M
Security Holder Reference Number	O
Origin Transaction Id	M
Unit Price	M
Order Reference	O
Order Type ³²	M
Units	M
Pricing Date	M

C 846 Effected Unit Reversal Notification	M / O
Fund Code	M
APIR Code	O
Transaction Status	M
Transaction Id	M
Security Holder Reference Number	O
Origin Transaction Id	M
Unit Price	M
Order Reference	O
Order Type	M
Units	M
Pricing Date	M

B 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

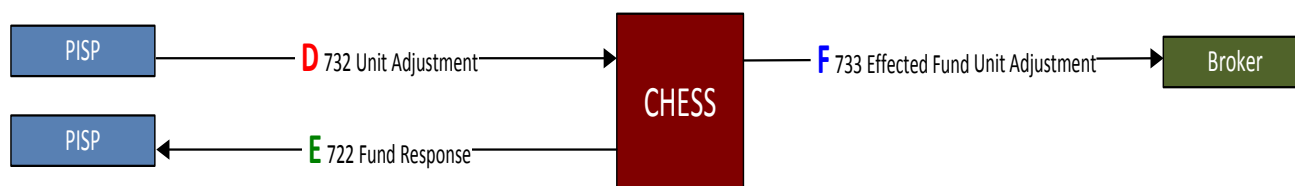
i *MT845*: If Broker Sponsored, HIN is to be entered, If Issuer Sponsored, SRN may be entered.

³¹ Transaction Status must be 'V' (Reversal) for the first iteration of this message, and 'P' (Reapply) for the second iteration of this message.

³² Order Type must contain either 'APP' (Application), 'RED' (Redemption) or 'SWI' (Switch).

Order Maintenance: Reversal / Reapply adjustment

Does not apply to Issuer Sponsored holders.



D 732 Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
PID	O
Fund Reason ³³	M
Increase or Decrease ³⁴	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Adjustment Units	M
E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

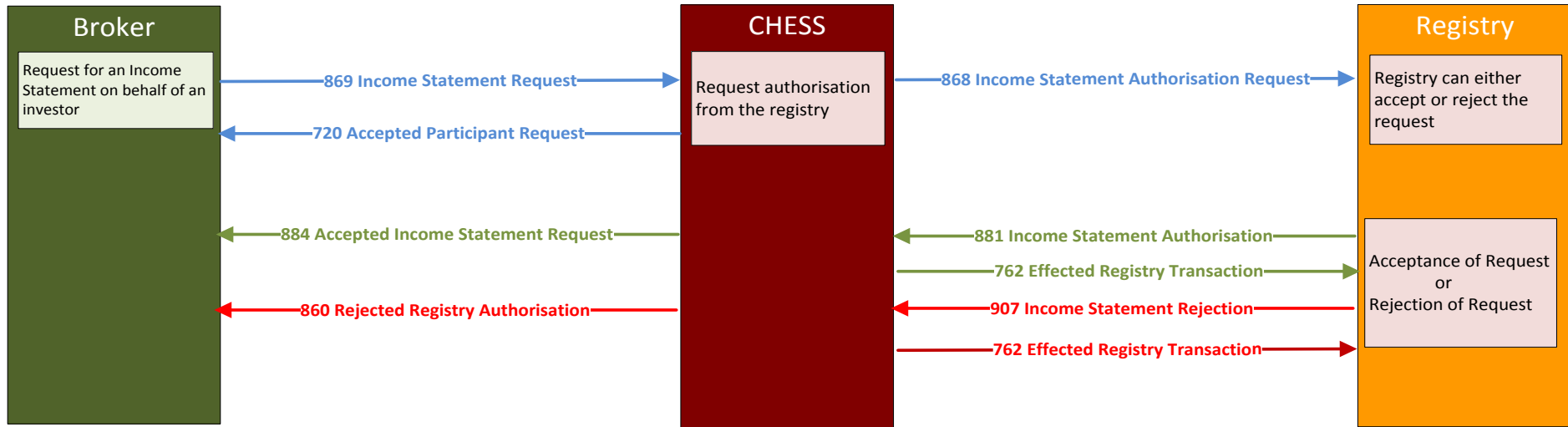
F 733 Effected Fund Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
Fund Reason	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Effected Timestamp	M
Registry Reference	O
Adjustment Units	M
New Fund Holding Balance	M

³³ Fund Reason must be 'ORV' (Order Reversal) or 'ORP' (Order Reapply), depending on the iteration.

³⁴ For Transaction Status 'V' (Reversal) Increase or Decrease must be '-' (for Application or Switch Application) or '+' (for Redemption or Switch Redemption) for the first iteration of this message. For Transaction Status 'P' (Reapply) Increase or Decrease must be '+' (for Application or Switch Application) or '-' (for Redemption or Switch Redemption) for the second iteration of this message.

Income Statement Selection

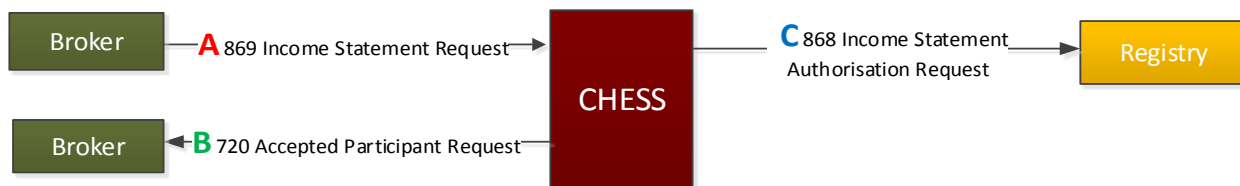
The following section describes the message suite relating to the selection of income statement advices, both Annual and Periodic. The diagram shows the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.



Line Colours denote related process flows within the function

Income Statement: Broker request

Income Statement selection allows either Annual or Periodic income statements to be selected or in some cases cancelled. Distribution of income is to occur outside of CHES between the PISP and the Holder.



Followed by Registry authorisation or rejection of the Income Statement request.

A 869 Income Statement Request	M / O
Security Code	M
APIR Code	O
HIN	M
Income Statement Report Type	M
Income Statement Report Frequency	O
Income Statement Cancellation	O
Transaction Id	M

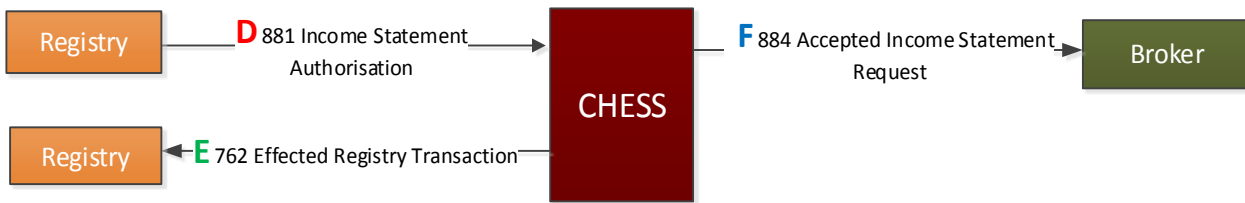
B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

C 868 Income Statement Authorisation Request	M / O
Security Code	M
APIR Code	O
HIN	M
PID	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M
Income Statement Report Type	M
Income Statement Report Frequency	O
Income Statement Cancellation	O

The following values form valid combinations within the Income Statement Selection request:

Income Statement Report Type	Income Statement Report Frequency	Income Statement Cancellation
A (Annual)	A (On-Demand)	space
P (Periodic)	A (On-Demand) or S (Standing)	space
P (Periodic)	space	Y (Yes)

Income Statement: Registry authorisation

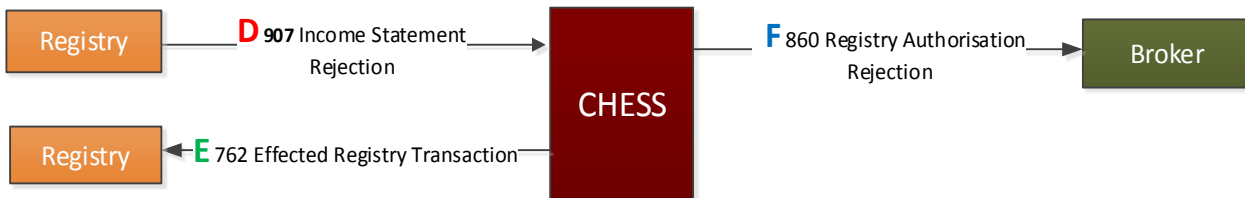


D 881 Income Statement Authorisation	M / O
Target UIC	M
Transaction Id	M
Origin Transaction Id	M

F 884 Accepted Income Statement Request	M / O
Transaction Id	M
Origin Transaction Id	M
Processing Timestamp	M

E 762 Effected Registry Transaction	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Income Statement: Registry rejection



D 907 Income Statement Rejection	M / O
Target UIC	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Rejected Registry Reason	M

F 860 Registry Authorisation Rejection	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Rejected Registry Reason	M

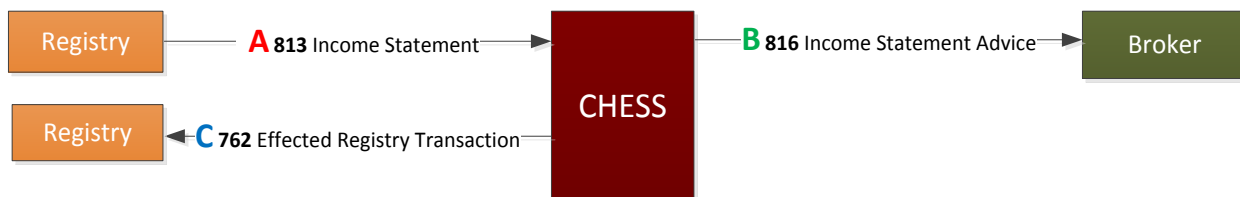
E 762 Effected Registry Transaction	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Periodic Income Statements

Income Statements: Delivery

The periodic nature of the requests will be aligned to what a Registry offers. Income payment processing is not offered.

Where an *Income Settlement Selection* request has been accepted by the Registry.



A 813 Income Statement	M / O
Security Code	M
Gross Income Amount	M
Income Notification Flag	M
HIN	M
PID	M
Transaction Id	M
Income Amount per Unit	O
Tax Deducted	O
Nett Amount	O
Units Participating	O
Fees	O
Payment Date	M
Record Date	M
APIR Code	O
Tax Credit Amount	O

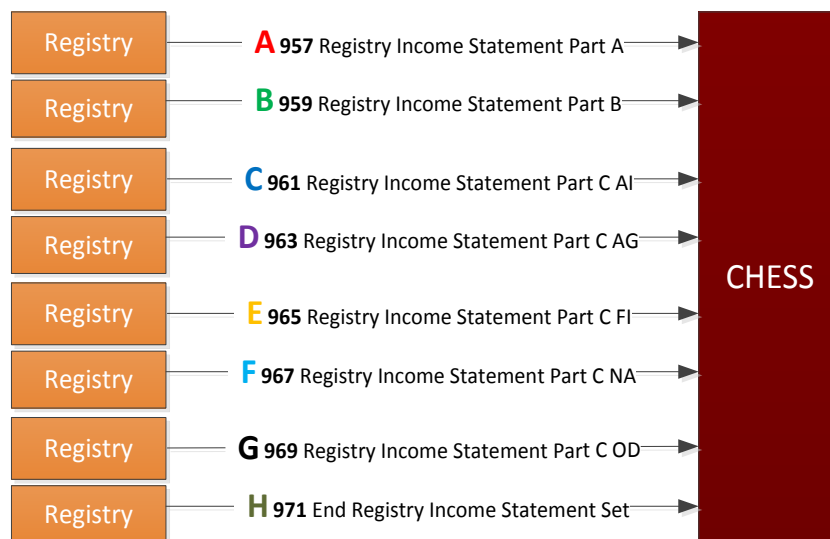
B 816 Income Statement Advice	M / O
Security Code	M
Gross Income Amount	M
Income Notification Flag	M
HIN	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	O
Income Amount per Unit	O
Tax Deducted	O
Nett Amount	O
Units Participating	O
Fees	O
Payment Date	M
Record Date	M
APIR Code	O
Tax Credit Amount	O

C 762 Effected Registry Transaction	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Annual Income Statements

Income Statements: Delivery to CHES

Only Annual Income Statements for the preceding year are processed. Income payment processing is not offered. Where an *Income Settlement Selection* request has been accepted by the Registry, the following message set will be returned to CHES. Note that only the relevant messages within the full set may be returned depending on the investor’s tax profile.



Followed by CHES acceptance or rejection of the Annual Income Statement set data.

A 957 Registry Income Statement Part A	M / O
Security Code	M
HIN	M
PID	M
Income Statement Status	M
Transaction Id	M
Origin Transaction Id	M
Set Transaction Id	M
As At Date	M
Non Primary Income	O
Trust Franked Distributions	O
Franking Credit	O
TFN Withholding	O
Annual Capital Gain	O
APIR Code	O
Net Capital Gain	O
Assessable Foreign Income	O
Other Foreign Income	O
Foreign Income Tax Offsets	O
Non Primary Deductions	O

B 959 Registry Income Statement Part B	M / O
Security Code	M
HIN	M
PID	M
Income Statement Status	M
Transaction Id	M
Origin Transaction Id	M
Set Transaction Id	M
As At Date	M
Capital Gain Discounted	O
Capital Gain other	O
Annual Capital Gain Total	O
CGT Concession	O
Tax Deferred	O
APIR Code	O

C 961 Registry Income Statement Part C AI		M / O
Security Code	M	
HIN	M	
PID	M	
Income Statement Status	M	
Transaction Id	M	
Origin Transaction Id	M	
Set Transaction Id	M	
As At Date	M	
AI Dividends Franked Amount Cash	O	
AI Dividends Franked Amount Tax	O	
AI Dividends Franked Amount Taxable	O	
AI Dividends Unfranked Amount Cash	O	
AI Dividends Unfranked Amount Taxable	O	
AI Interest Cash	O	
AI Interest Taxable	O	
AI Other Income Cash	O	
AI Other Income Taxable	O	
AI Other Income Cash	O	
AI Non Primary Income Cash	O	
AI Non Primary Income Taxable	O	
APIR Code	O	

D 963 Registry Income Statement Part C CG		M / O
Security Code	M	
HIN	M	
PID	M	
Income Statement Status	M	
Transaction Id	M	
Origin Transaction Id	M	
Set Transaction Id	M	
As At Date	M	
CG Discount Cash	O	
CG Discount Tax	O	
CG Discount Taxable	O	
CG Tax Concession Cash	O	
CG Tax Concession Taxable	O	
CG Other Method Cash	O	
CG Other Method Tax	O	
CG Other Method Taxable	O	
CG Distributed Cash	O	
CG Distributed Tax	O	
CG Distributed Taxable	O	
CG Net	O	
APIR Code	O	

E 965 Registry Income Statement Part C FI		M / O
Security Code	M	
222HIN	M	
PID	M	
Income Statement Status	M	
Transaction Id	M	
Origin Transaction Id	M	
Set Transaction Id	M	
As At Date	M	
FI Assessable Income Cash	O	
FI Assessable Income Tax	O	
FI Assessable Income Taxable	O	
FI Cash Distribution Cash	O	
FI Cash Distribution Tax	O	
FI Cash Distribution Cash Sub-Total	O	
APIR Code	O	

F 967 Registry Income Statement Part C NA		M / O
Security Code	M	
HIN	M	
PID	M	
Income Statement Status	M	
Transaction Id	M	
Origin Transaction Id	M	
Set Transaction Id	M	
As At Date	M	
NA Tax Exempted Amounts Cash	O	
NA Tax Deferred Amounts Cash	O	
NA Gross Cash	O	
APIR Code	O	

G 969 Registry Income Statement Part C OD		M / O
Security Code	M	
HIN	M	
PID	M	
Income Statement Status	M	
Transaction Id	M	
Origin Transaction Id	M	
Set Transaction Id	M	
As At Date	M	
OD TFN Amounts Wthheld	O	
OD Other Expenses	O	
OD Net Cash	O	
APIR Code	O	

H 971 End Registry Income Statement Set		M / O
Date	M	
Transaction Id	M	
Origin Transaction Id	M	
Set Transaction Id	M	
Total Message Count	M	

Income Statement: CHES acceptance

CHES will ensure that the specified total message count is equal to the messages received and accept the message set where matched.



A 958 Accepted Registry Income Statement Set	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M
Set Transaction Id	M
Total Message Count	M

Followed by CHES transmission of the Annual Income Statement set data to the requesting broker.

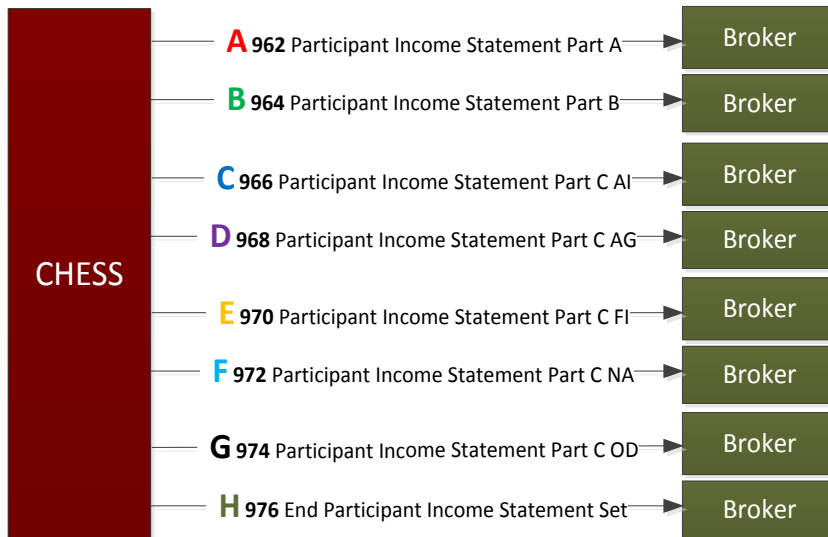
Income Statement: CHES rejection



A 960 Rejected Registry Income Statement Set	M / O
Processing Timestamp	M
Rejected Income Statement Set Reason	M
Transaction Id	M
Origin Transaction Id	M
Set Transaction Id	M
Total Message Count	M

Income Statements: Delivery to broker

Where an Income Settlement data set is accepted by CHES, the following message set will be returned to the requesting broker. Note that only the relevant messages within the full set may be returned depending on the investor’s tax profile.



A 962 Participant Income Statement Part A	M / O
Security Code	M
HIN	M
Income Statement Status	M
Transaction Id	M
Origin Transaction Id	M
Set Transaction Id	M
Processing Timestamp	M
As At Date	M
Non Primary Income	O
Trust Franked Distributions	O
Franking Credit	O
TFN Withholding	O
Annual Capital Gain	O
APIR Code	O
Net Capital Gain	O
Assessable Foreign Income	O
Other Foreign Income	O
Foreign Income Tax Offsets	O
Non Primary Deductions	O

B 964 Participant Income Statement Part B	M / O
Security Code	M
HIN	M
Income Statement Status	M
Transaction Id	M
Origin Transaction Id	M
Set Transaction Id	M
Processing Timestamp	M
As At Date	M
Capital Gain Discounted	O
Capital Gain other	O
Annual Capital Gain Total	O
CGT Concession	O
Tax Deferred	O
APIR Code	O

C 966 Participant Income Statement		M / O
Part C AI		
Security Code		M
HIN		M
Income Statement Status		M
Transaction Id		M
Origin Transaction Id		M
Set Transaction Id		M
Processing Timestamp		M
As At Date		M
AI Dividends Franked Amount Cash		O
AI Dividends Franked Amount Tax		O
AI Dividends Franked Amount Taxable		O
AI Dividends Unfranked Amount Cash		O
AI Dividends Unfranked Amount Taxable		O
AI Interest Cash		O
AI Interest Taxable		O
AI Other Income Cash		O
AI Other Income Taxable		O
AI Other Income Cash		O
AI Non Primary Income Cash		O
AI Non Primary Income Taxable		O
APIR Code		O

D 968 Participant Income Statement		M / O
Part C CG		
Security Code		M
HIN		M
Income Statement Status		M
Transaction Id		M
Origin Transaction Id		M
Set Transaction Id		M
Processing Timestamp		M
As At Date		M
CG Discount Cash		O
CG Discount Tax		O
CG Discount Taxable		O
CG Tax Concession Cash		O
CG Tax Concession Taxable		O
CG Other Method Cash		O
CG Other Method Tax		O
CG Other Method Taxable		O
CG Distributed Cash		O
CG Distributed Tax		O
CG Distributed Taxable		O
CG Net		O
APIR Code		O

E 970 Participant Income Statement		M / O
Part C FI		
Security Code		M
HIN		M
Income Statement Status		M
Transaction Id		M
Origin Transaction Id		M
Set Transaction Id		M
Processing Timestamp		M
As At Date		M
FI Assessable Income Cash		O
FI Assessable Income Tax		O
FI Assessable Income Taxable		O
FI Cash Distribution Cash		O
FI Cash Distribution Tax		O
FI Cash Distribution Cash Sub-Total		O
APIR Code		O

F 972 Participant Income Statement		M / O
Part C NA		
Security Code		M
HIN		M
Income Statement Status		M
Transaction Id		M
Origin Transaction Id		M
Set Transaction Id		M
Processing Timestamp		M
As At Date		M
NA Tax Exempted Amounts Cash		O
NA Tax Deferred Amounts Cash		O
NA Gross Cash		O
APIR Code		O

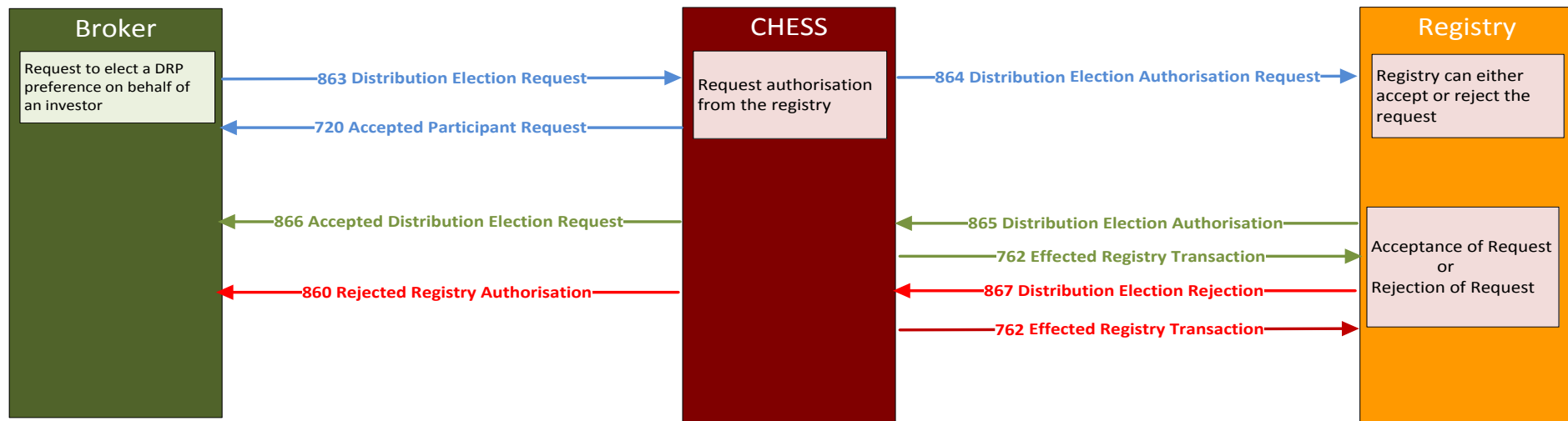
G 974 Participant Income Statement		M / O
Part C OD		
Security Code		M
HIN		M
Income Statement Status		M
Transaction Id		M
Origin Transaction Id		M
Set Transaction Id		M
Processing Timestamp		M
As At Date		M
OD TFN Amounts Wthheld		O
OD Other Expenses		O
OD Net Cash		O
APIR Code		O

H 976 End Participant Income Statement Set		M / O
Date		M
Transaction Id		M
Origin Transaction Id		M
Set Transaction Id		M
Processing Timestamp		M
Total Message Count		M

Distribution Election

The following section describes the message suite relating to the provision of DRP election preferences. The diagram shows the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

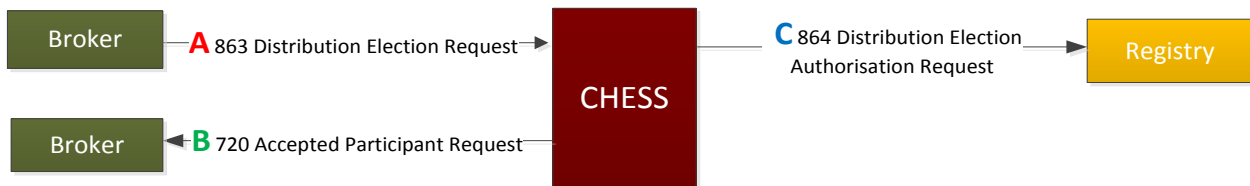
A DRP agreement must already be in place (refer following sections). Investors make their initial DRP preference via the MT726 Application Request and may amend that preference through this function.



Line Colours denote related process flows within the function

Distribution Election: **Broker request**

Investors make their initial DRP preference via the MT726 Application Request and may amend that preference through this function.



Followed by Registry authorisation or rejection of the Distribution Election request.

A 863 Distribution Election Request	M / O
Security Code	M
APIR Code	O
HIN	M
Transaction Id	M
Holder DRP Preference	O
Holder RPP Preference	O
BSB Number	O
Account Name	O
Account Number	O
Account Purpose	O
RPP Frequency	O
RPP Amount	O
DRP Units Participating	O

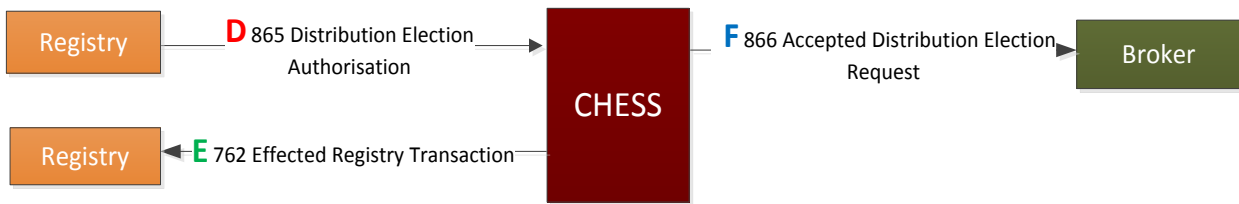
B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

C 864 Distribution Election Authorisation Request	M / O
Security Code	M
APIR Code	O
HIN	O
PID	M
Transaction Id	M
Origin Transaction Id	M
Processing Timestamp	M
Holder DRP Preference	O
Holder RPP Preference	O
BSB Number	O
Account Name	O
Account Number	O
Account Purpose	O
RPP Frequency	O
RPP Amount	O
DRP Units Participating	O



*RPP functionality has been developed but is yet to be implemented.
Any RPP Election preferences provided through this function will be ignored.*

Distribution Election: Registry authorisation

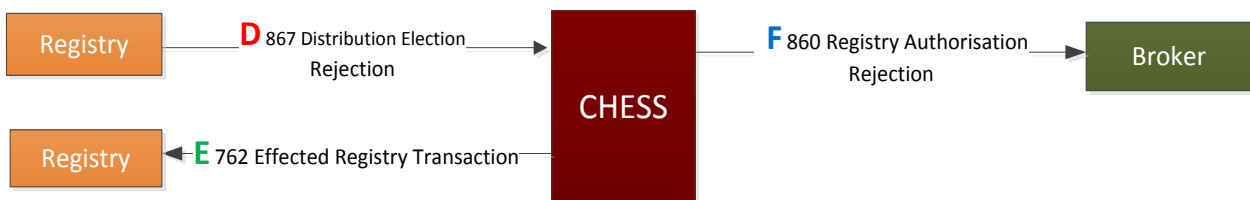


D 865 Distribution Election Authorisation	M / O
Target UIC	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O

F 866 Accepted Distribution Election Request	M / O
Transaction Id	M
Origin Transaction Id	M
Processing Timestamp	M
Registry Reference	O

E 762 Effected Registry Transaction	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Distribution Election: Registry rejection



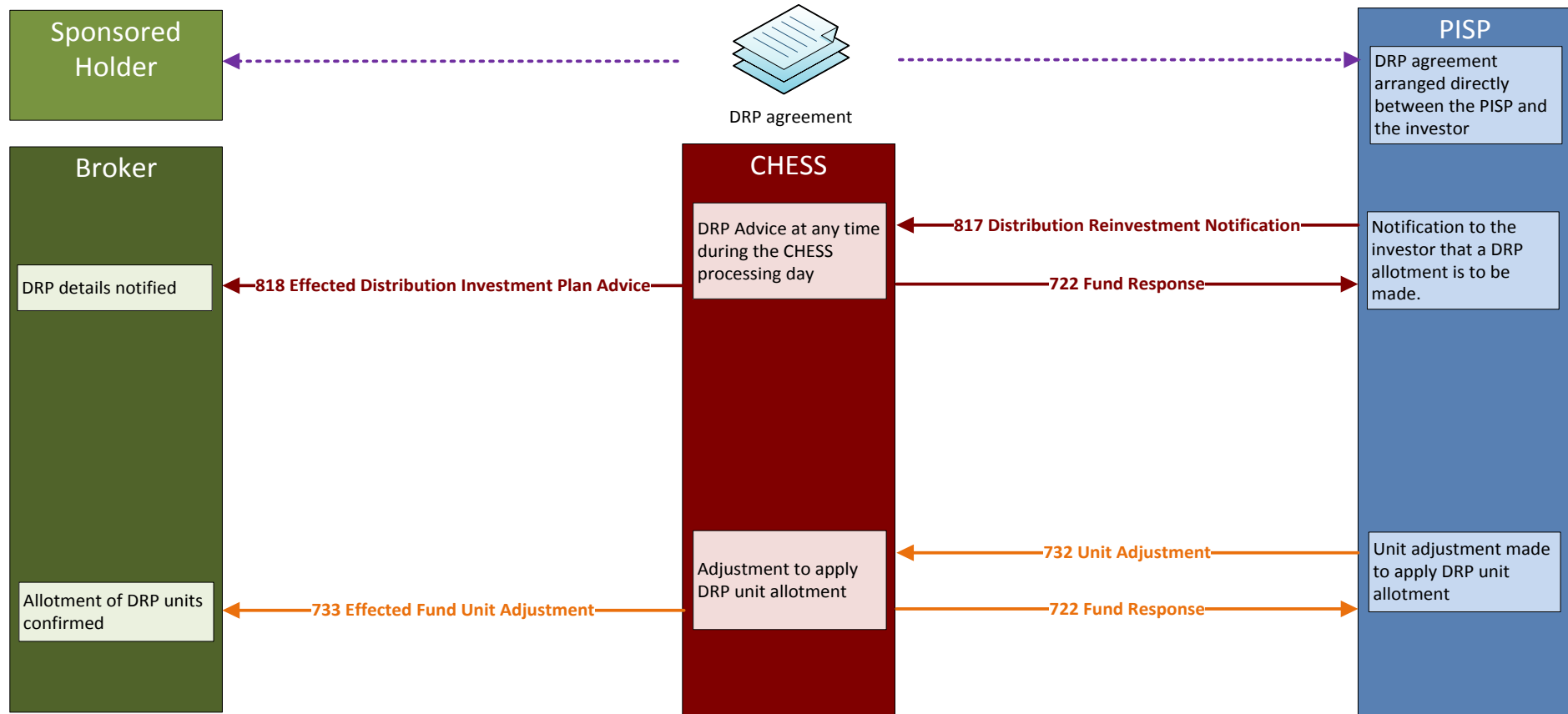
D 867 Distribution Election Rejection	M / O
Target UIC	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Rejected Registry Reason	M

F 860 Registry Authorisation Rejection	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Rejected Registry Reason	M

E 762 Effected Registry Transaction	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

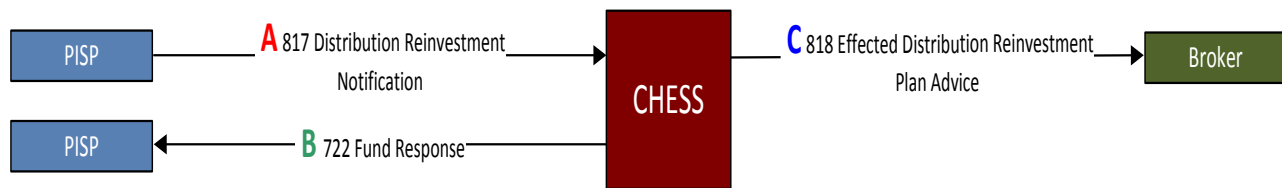
Distribution Reinvestment Plan

The following section describes the message suite relating to the processing of DRP transactions. The diagram shows the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.



Distributions: PISP notification

Preceded by a DRP arrangement being concluded between the holder (HIN) and the PISP.



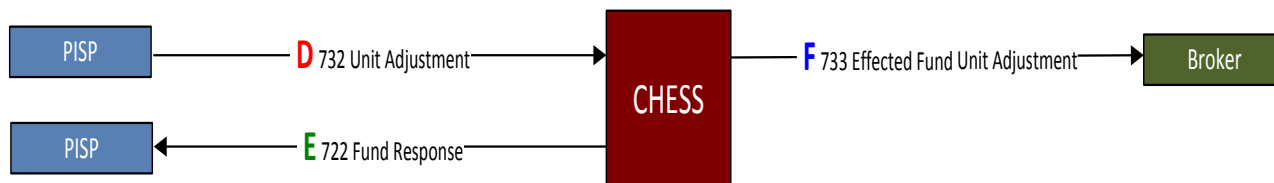
A 817 Distribution Reinvestment Notification	M / O
Fund Code	M
APIR Code	O
Gross DRP Amount	M
HIN	M
PID	M
Transaction Id	M
Additional Units	M
Unit Price	M
Nett DRP Amount	O
Tax Deducted	O
Units Participating	M
Fees	O
Unit Allotment Date	M
Record Date	M

C 818 Effected Distribution Reinvestment Plan Advice	M / O
Fund Code	M
APIR Code	O
Gross DRP Amount	M
HIN	M
Transaction Id	M
Origin Transaction Id	M
Additional Units	M
Unit Price	M
Nett DRP Amount	O
Tax Deducted	O
Units Participating	M
Fees	O
Unit Allotment Date	M
Record Date	M

B 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Distributions: Allocation of mFund units

Does not apply to Issuer Sponsored holders.



D 732 Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
PID	O
Fund Reason ³⁵	M
Increase or Decrease ³⁶	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Adjustment Units	M

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

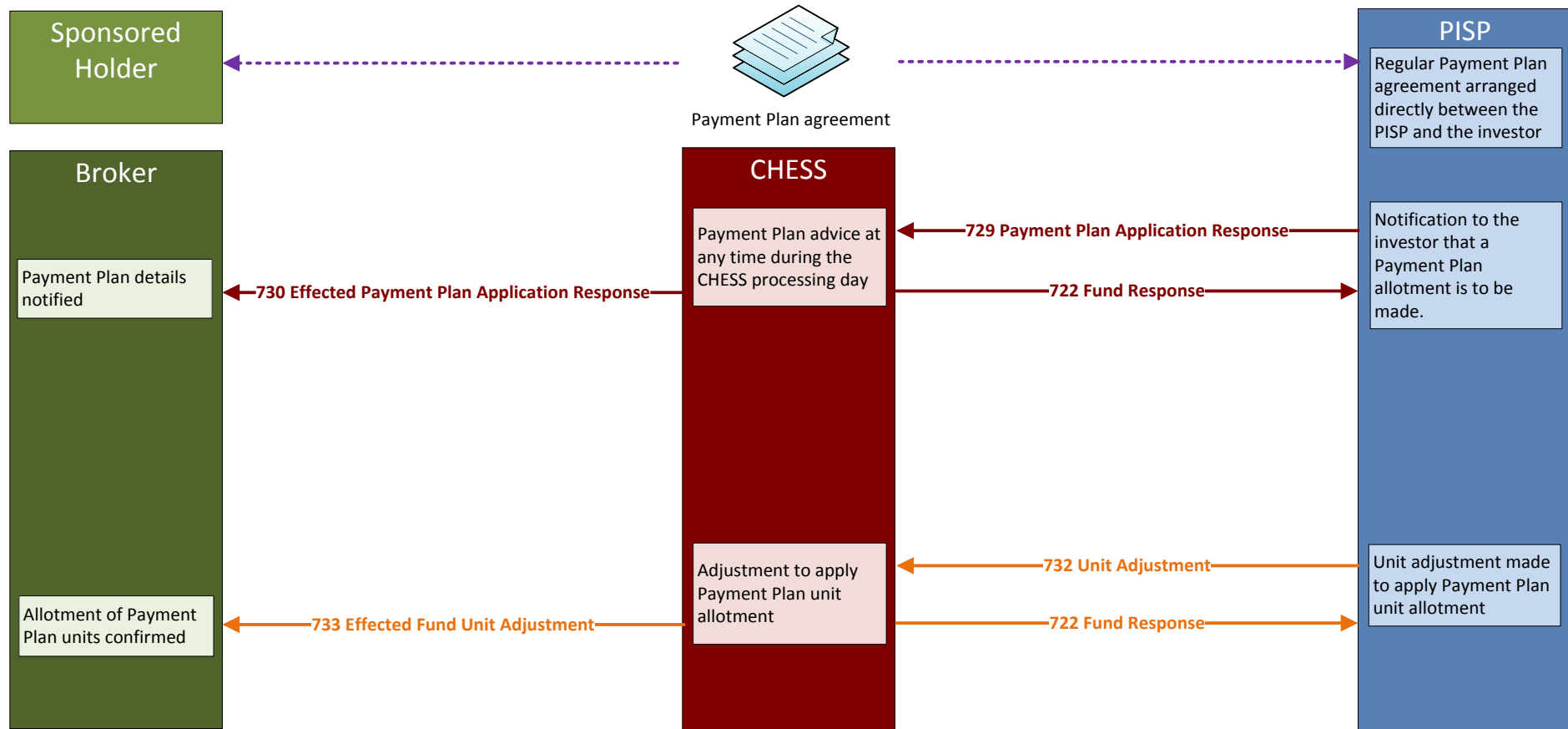
F 733 Effected Fund Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
Fund Reason	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Effected Timestamp	M
Registry Reference	O
Adjustment Units	M
New Fund Holding Balance	M

³⁵ Fund Reason must be 'DRP' (Dividend Reinvestment Plan).

³⁶ Increase or Decrease must be '+'.

Regular Payment Plan

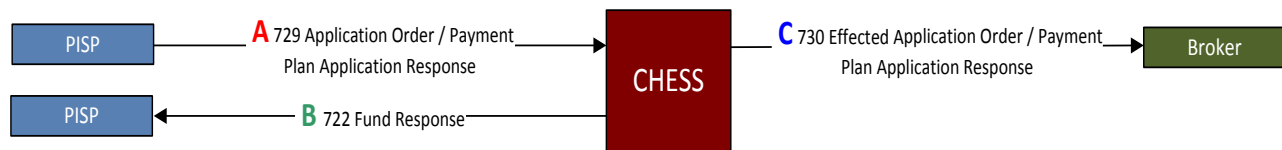
The following section describes the message suite relating to the processing of payment plan transactions. The diagram shows the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted. **Note: The current production environment (v9.0) does not comprise Regular Payment Plan functionality.**



Line Colours denote related process flows within the function

Payment Plans: PISP request



Preceded by a Payment Plan arrangement being concluded between the investor and the PISP.



A 729 Application Order / Payment Plan Application Response	M / O
Fund Code	M
APIR Code	O
Fund Amount	M
HIN	O
PID	M
Processing Time stamp	M
Transaction Status ³⁷	M
Transaction Id	M
Security Holder Reference Number	O
Rejected Order Reason ³⁸	O
Origin Transaction Id	M
Unit Price	O
Order Reference	O
Order Type ³⁹	M
Number of Units	O
Unit Pricing Date	O
Fees	O
Unit Allotment Date	O

C 730 Effected Application Order / Payment Plan Application Response	M / O
Fund Code	M
APIR Code	O
Fund Amount	M
HIN	O
Processing Time stamp	M
Transaction Status	M
Transaction Id	M
Security Holder Reference Number	O
Rejected Order Reason	O
Origin Transaction Id	M
Unit Price	O
Order Reference	O
Order Type	M
Number of Units	O
Unit Pricing Date	O
Fees	O
Unit Allotment Date	O

B 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

-  **MT729:** Unit Pricing Date and Unit Allotment Date must be included where request is accepted.
-  **MT729:** If Broker Sponsored, HIN is to be entered. If Issuer Sponsored, SRN is to be entered

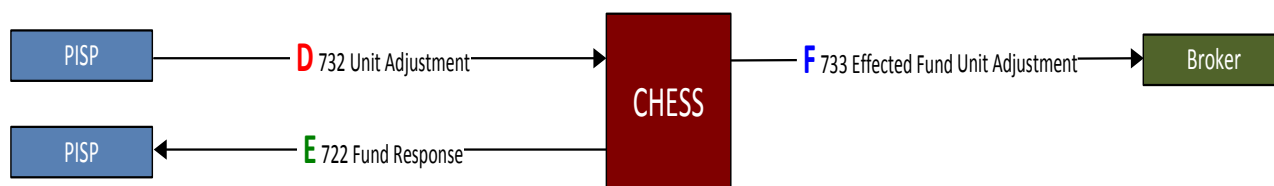
³⁷ Transaction Status must be 'A' (Accepted).

³⁸ No Rejected Order Reason is required.

³⁹ Order Type must be 'RPP' (Regular Payment Plan).

Payment Plans: Allocation of mFund units

Does not apply to Issuer Sponsored holders.



D 732 Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
PID	O
Fund Reason ⁴⁰	M
Increase or Decrease ⁴¹	M
Transaction Id	M
Origin Transaction Id	M
Registry Reference	O
Adjustment Units	M

F 733 Effected Fund Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
Fund Reason	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Effected Timestamp	M
Registry Reference	O
Adjustment Units	M
New Fund Holding Balance	M

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

⁴⁰ Fund Reason must be 'RPP' (Regular Payment Plan).

⁴¹ Increase or Decrease must be '+'.

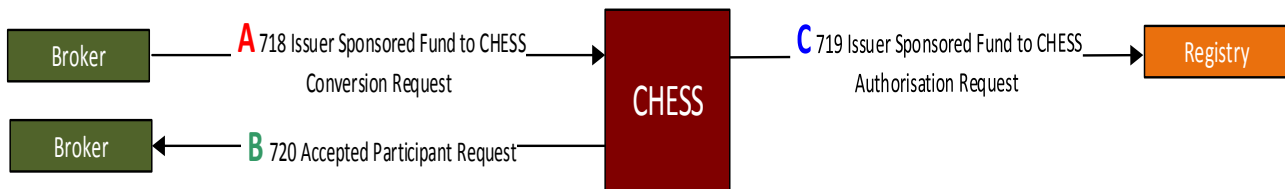
Conversions

The following section describes the message suite relating to the processing of conversion transactions. The conversion transactions offered are:

- Issuer Sponsored to CHES
- CHES to Issuer Sponsored

A conversion is the change from one register to another and does not change beneficial ownership. The diagrams show the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

Conversions: Issuer Sponsored Fund to CHES Conversion request



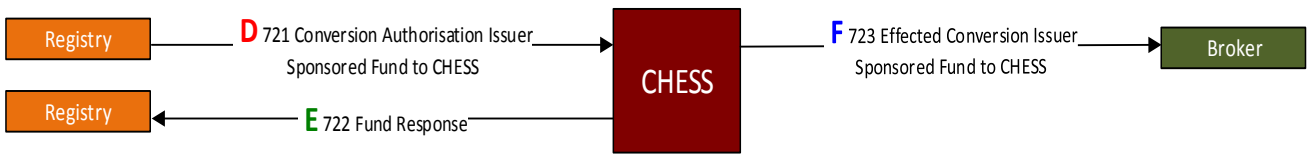
Followed by Registry acceptance or rejection of the conversion request.

A 718 Issuer Sponsored Fund to CHES Conversion Request	M / O
Fund Code	M
APIR Code	O
Receiving HIN	M
Movement Reason	M
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	M
AML/CTF Check Flag	M
FATCA Questions	M
Underlying Reference	O
Number of Units	M

C 719 Issuer Sponsored Fund to CHES Authorisation Request	M / O
Fund Code	M
APIR Code	O
Receiving HIN	M
Receiving PID	M
Receiving Registration Details	M
Broker Non broker Indicator	M
Processing Timestamp	M
Movement Reason	M
Transaction Id	M
Security Holder Reference Number	M
Origin Transaction Id	M
AML/CTF Check Flag	M
FATCA Questions	M
Number of Units	M

B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Conversions: Issuer Sponsored Fund to CHESS Conversion authorisation

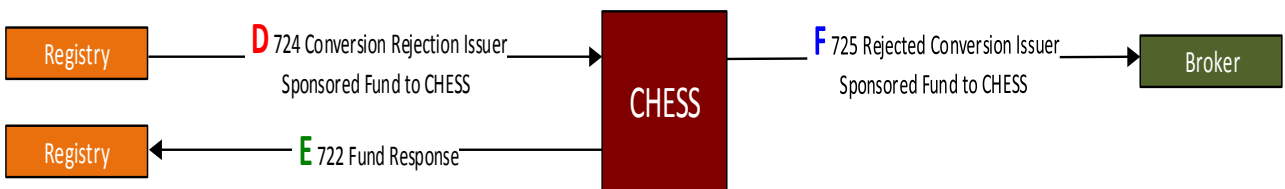


D 721 Conversion Authorisation Issuer Sponsored Fund to CHESS	M / O
Fund Code	M
APIR Code	O
Registry Reference	O
Transaction Id	M
Origin Transaction Id	M

F 723 Effected Conversion Issuer Sponsored Fund to CHESS	M / O
Processing Timestamp	M
Registry Reference	O
Transaction Id	M
Origin Transaction Id	M
New Fund Holding Balance	M

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Conversions: Issuer Sponsored Fund to CHESS Conversion rejection

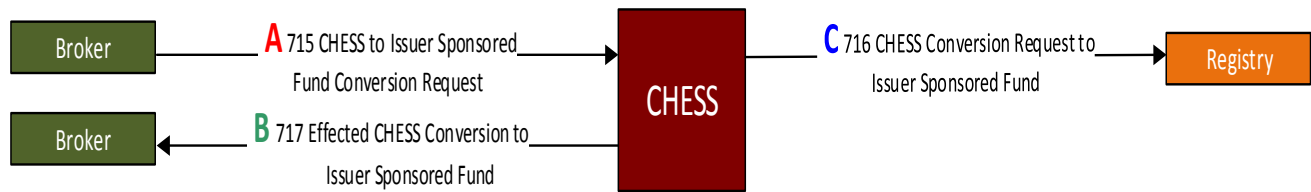


D 724 Conversion Rejection Issuer Sponsored Fund to CHESS	M / O
Fund Code	M
APIR Code	O
Registry Reference	O
Rejected Movement Reason	M
Transaction Id	M
Origin Transaction Id	M

F 725 Rejected Conversion Issuer Sponsored Fund to CHESS	M / O
Processing Timestamp	M
Registry Reference	O
Rejected Movement Reason	M
Transaction Id	M
Origin Transaction Id	M

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Conversions: CHES to Issuer Sponsored Fund Conversion request



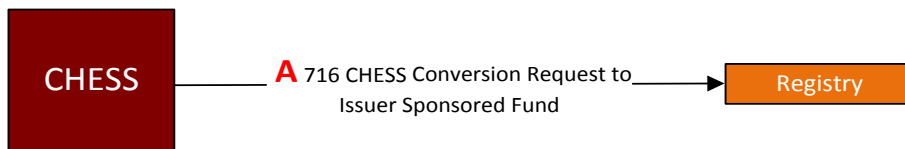
A 715 CHES to Issuer Sponsored Fund Conversion Request	M / O
Fund Code	M
APIR Code	O
Delivering HIN	M
Movement Reason	M
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	O
Tax File Number/ABN 1	O
Tax File Number/ABN 2	O
Tax File Number/ABN 3	O
Number of Units	M

B 717 Effected CHES Conversion to Issuer Sponsored Fund	M / O
Fund Code	M
APIR Code	O
Delivering HIN	M
Processing Timestamp	M
Movement Reason	O
Participant Reference	O
Transaction Id	M
Origin Transaction Id	M
Number of Units	M
New Fund Holding Balance	M

C 716 CHES Conversion Request to Issuer Sponsored Fund	M / O
Fund Code	M
APIR Code	O
Delivering HIN	M
Delivering PID	M
Broker Non broker Indicator	M
Processing Timestamp	M
Movement Reason	M
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	O
Origin Transaction Id	M
Delivering Registration Details	M
Tax File Number/ABN 1	O
Tax File Number/ABN 2	O
Tax File Number/ABN 3	O
Email Address	O
Email Purpose	O
Number of Units	M

Conversions: CHES to Issuer Sponsored Fund Conversion request (ASX Operations Initiated)

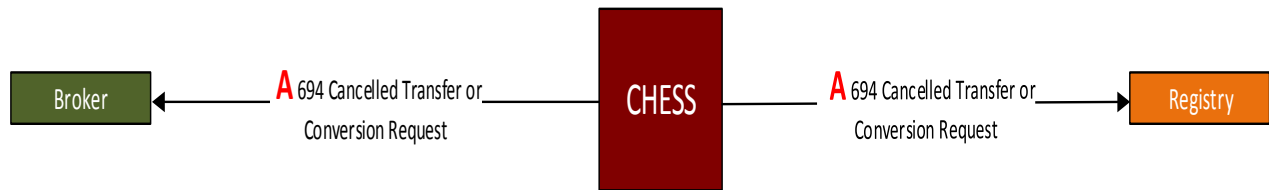
Where a security sub-register is closed or the Sponsoring Participant is unable to transmit a CHES to Issuer Sponsored Conversion, ASX Operations will initiate the conversion of holdings in CHES to a Issuer Sponsored register.



A 716 CHES Conversion Request to Issuer Sponsored Fund	M / O
Fund Code	M
APIR Code	O
Delivering HIN	M
Delivering PID	M
Broker Non Broker Indicator	M
Processing Timestamp	M
Movement Reason	M
Participant Reference	O
Supplementary Reference	O
Transaction Id	M
Security Holder Reference Number	O
Origin Transaction Id	M
Receiving Registration Details	M
Tax File Number/ABN 1	O
Tax File Number/ABN 2	O
Tax File Number/ABN 3	O
Email Address	O
Email Purpose	O
Number of Units	M

Conversions: Unactioned Conversion cancellation

CHES will cancel unactioned conversion requests and inform the parties to the conversion.



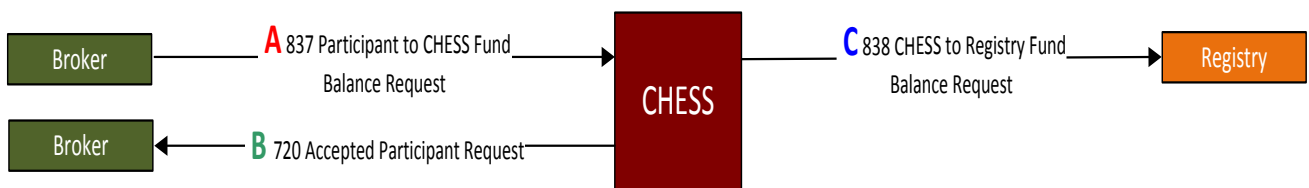
A 694 Cancelled Conversion or Conversion Request	M / O
Fund Code	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Enquiries

The following section describes the message suite relating to the processing of enquiry transactions. The diagrams show the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

Enquiries: Issuer Sponsored Fund Holding Balance

A Sponsoring Participant may request the holding balance on an issuer sponsored register for a nominated investor (by SRN).



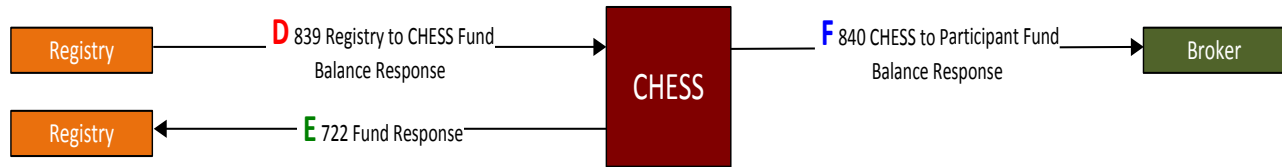
A 837 Participant to CHES Fund Balance Request	M / O
Fund Code	M
APIR Code	O
Transaction Id	M
Verification Name	M
Security Holder Reference Number	M

C 838 CHES to Registry Fund Balance Request	M / O
Fund Code	M
APIR Code	O
Requesting PID	M
Processing Timestamp	M
Transaction Id	M
Verification Name	M
Security Holder Reference Number	M
Origin Transaction Id	M

B 720 Accepted Participant Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Enquiries: Issuer Sponsored Fund Holding Balance authorisation

The registry returns the requested holding balance.



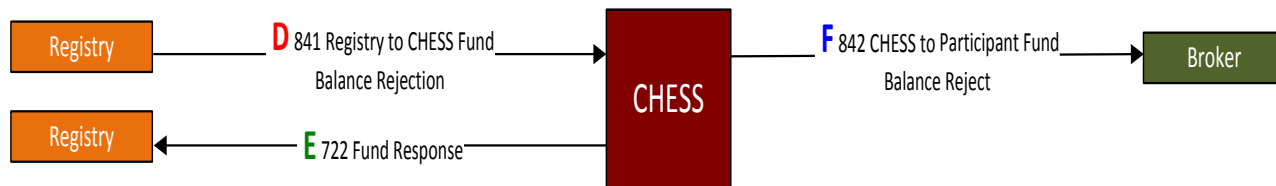
D 839 Registry to CHES Fund Balance Response	M / O
Fund Code	M
APIR Code	O
Requesting PID	M
Transaction Id	M
Security Holder Reference Number	M
Registration Details	M
Origin Transaction Id	M
Holding Balance Timestamp	M
Fund Holding Balance	M

F 840 CHES to Participant Fund Balance Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M
Holding Balance Timestamp	M
Fund Holding Balance	M

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Enquiries: Issuer Sponsored Fund Holding Balance rejection

The registry rejects the request and provides a rejection reason.



D 841 Registry to CHES Fund Balance Rejection	M / O
Fund Code	M
APIR Code	O
Registry Reject Reason	M
Requesting PID	M
Processing Timestamp	M
Transaction Id	M
Verification Name	M
Security Holder Reference Number	M
Origin Transaction Id	M

F 842 CHES to Participant Fund Balance Reject	M / O
Registry Reject Reason	M
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

E 722 Fund Response	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

Reporting

The following section describes the reporting messages available within the mFund Settlement Service. These messages may be requested by either the Product Issuer Settlement Participant (PISP), the Participant (P) and/or the Registry (R). It is important to note that the relationship between the Product Issuer Settlement Participant and the associated Registry is based on shared access to registry data. There are many functions within mFund that require this, no more so than the reporting outlined in this section.

The diagrams on the following pages show the message interactions between the participants and CHESS. The data within each message is shown and the mandatory – optional attribute is highlighted. Only those reports which are new and are specific to mFund are detailed.

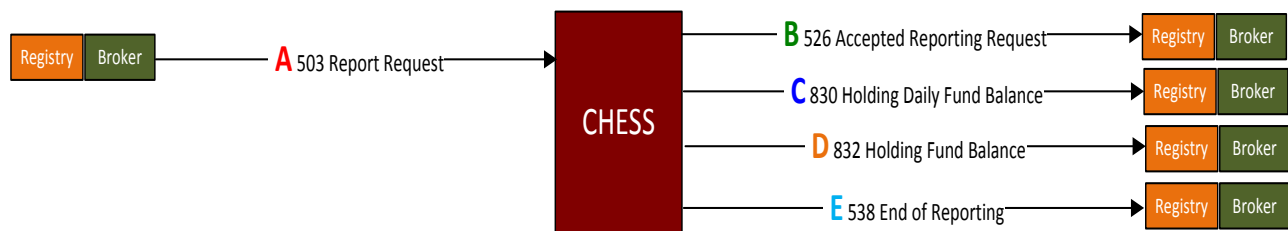
Reporting IDs are used within the MT503 Report Request message to select a required reporting outcome. This may result in one or more messages being returned. Bear in mind that the output messages received from any report request are based on the parameters entered. If, for example a particular security is selected, then only those message/s that pertain to that security will be returned.

No new Reporting IDs have been created specifically for mFund. The Reporting IDs shown in the table below offer either additional output messages, specific to mFund, or have been made available for selection by a PISP. Remaining Reporting IDs (as defined in the ASX Settlement Procedure Guidelines (APG)) and not shown in the table below, are unchanged and may be applicable for mFund Registry and Participant users.

Reporting ID	Report Name	CHESS output messages		May be requested by
		Non-mFund Related	mFund Related	
CFB	Participant Counterparty Balance	158	158	PISP, P
CSI	Cancelled Settlement Instruction	048, 116, 118, 132	116	PISP, P
FHT	Full Fund Holding Transaction	014, 018, 022, 034, 042, 050, 052, 054, 056, 058, 060, 062, 068, 070, 072, 074, 090, 146	733, 834, 835	R, P
FSI	Full Settlement Instruction	116, 180, 188, 190, 192	116, 180, 188	PISP, P
HBL ⁴²	Holding Fund Balance	508, 510, 522	830, 832	R, P
HLD	Holder Detail	222	222	PISP, P
HLH	Holder History	224	224	PISP, P
HMV	Holding Net Fund Movement	510	831	R
HRD	Holding Registration Details	512	512	R
HTX	Holding Transaction	002, 004, 006, 008, 010, 146, 172, 174	717, 723, 733, 852	P
PFD	Payment Facility Detail	230	230	PISP, P
PFH	Payment Facility History	232	232	PISP, P
RPD	Reporting Detail	234	234	R, PISP, P
SET	Settlement	124, 146, 156, 170, 192	124, 156, 170	PISP, P
SMP	Subregister Movement – Participant	008, 016, 076, 172, 174	717, 720, 723, 725, 852, 860	P
SMR	Subregister Movement – Registry	402, 404, 406, 408, 412, 414, 416, 418, 426	716, 719, 722, 856	R
TSB	Total Security Fund Balance	532	833	R
TSH	Top Security Fund Holder	560	844	R
USD	User Detail	226	226	R, PISP, P
USH	User History	228	228	R, PISP, P

⁴² Where a Holding Daily Fund Balance (MT830) or Holding Daily Balance (MT508) is required, an *As At Date* must be furnished in the 503 Report Request

Reporting: Holding Fund Balance (HBL)



A 503 Report Request	M / O
Security Code Parameter	O
Corporate Action Type Id Parameter	O
Reporting Start Date	O
Reporting End Date	O
HIN Parameter	O
PID Parameter	O
Payment Facility Parameter	O
Subposition Type Parameter	O
Takeover Code Parameter	O
Transaction Id	M
Transaction Id Parameter	O
Reporting Id	M
Processing Frequency	M
Ex Date Parameter	O
Number Of Days Parameter	O
Position Type Parameter	O
Processing Point	O
Processing Period	O
Start Date Parameter	O
End Date Parameter	O
As At Date Parameter	O
Reporting Id Parameter	O
Transaction Class Parameter	O
Additional Reporting Parameter	O

C 830 Holding Daily Fund Balance	M / O
Fund Code	M
APIR Code	O
Date	M
HIN	M
Processing Timestamp	M
Origin Transaction Id	M
Closing Fund Balance	M

D 832 Holding Fund Balance	M / O
Fund Code	M
APIR Code	O
HIN	M
Processing Timestamp	M
Origin Transaction Id	M
Advice Reason	M
Total Fund Units on Register	M

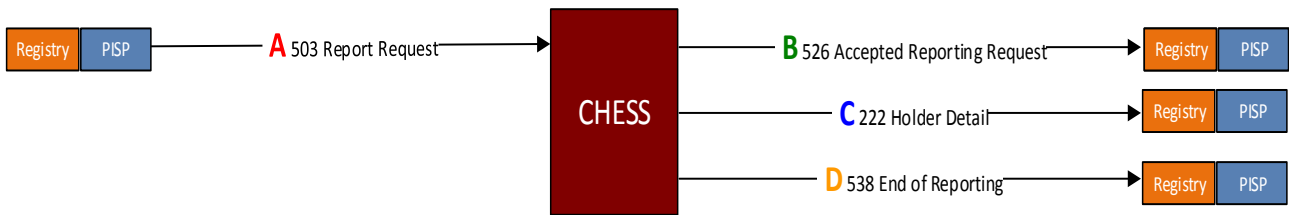
B 526 Accepted Reporting Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

E 538 End of Reporting	M / O
Processing Timestamp	M
Total Message Count	M
Origin Transaction Id	M



The MT503 Report Request allows CHES users to tailor their reporting needs. The parameters offered provide flexibility as to the frequency, range and format of the furnished report. Optional fields may need data depending on the report selected.

Reporting: Holder Detail (HLD)



A 503 Report Request	M / O
Security Code Parameter	O
Corporate Action Type Id Parameter	O
Reporting Start Date	O
Reporting End Date	O
HIN Parameter	O
PID Parameter	O
Payment Facility Parameter	O
Subposition Type Parameter	O
Takeover Code Parameter	O
Transaction Id	M
Transaction Id Parameter	O
Reporting Id	M
Processing Frequency	M
Ex Date Parameter	O
Number Of Days Parameter	O
Position Type Parameter	O
Processing Point	O
Processing Period	O
Start Date Parameter	O
End Date Parameter	O
As At Date Parameter	O
Reporting Id Parameter	O
Transaction Class Parameter	O
Origin Transaction Id	O

C 222 Holder Detail	M / O
HIN	M
Holder Type	M
Controlling PID	M
Processing Timestamp	M
Statement Required	M
Registration Details	M
Origin Transaction Id	M
Entrepot Type	O
Advice Reason	M
Holder Status	O
Residency Indicator	O
Email Address	O
Email Purpose	O

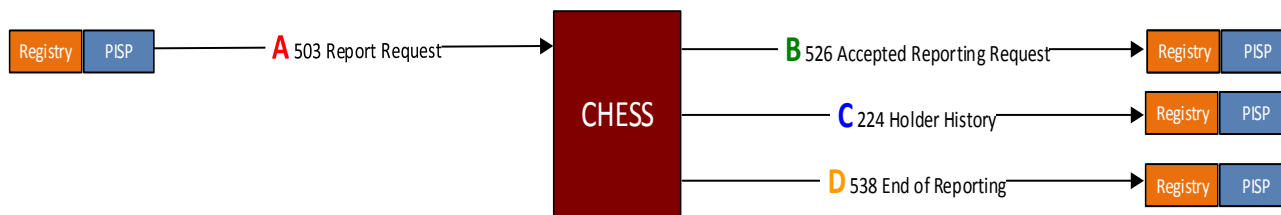
D 538 End of Reporting	M / O
Processing Timestamp	M
Total Message Count	M
Origin Transaction Id	M

B 526 Accepted Reporting Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M



The *MT503 Report Request* allows CHES users to tailor their reporting needs. The parameters offered provide flexibility as to the frequency, range and format of the furnished report. Optional fields may need data depending on the report selected.

Reporting: Holder History (HLH)



A 503 Report Request	M / O
Security Code Parameter	O
Corporate Action Type Id Parameter	O
Reporting Start Date	O
Reporting End Date	O
HIN Parameter	O
PID Parameter	O
Payment Facility Parameter	O
Subposition Type Parameter	O
Takeover Code Parameter	O
Transaction Id	M
Transaction Id Parameter	O
Reporting Id	M
Processing Frequency	M
Ex Date Parameter	O
Number Of Days Parameter	O
Position Type Parameter	O
Processing Point	O
Processing Period	O
Start Date Parameter	O
End Date Parameter	O
As At Date Parameter	O
Reporting Id Parameter	O
Transaction Class Parameter	O
Origin Transaction Id	O

C 224 Holder History	M / O
HIN	M
Holder Type	M
Controlling PID	M
Processing Timestamp	M
Statement Required	M
Registration Details	M
Origin Transaction Id	M
Entrepot Type	O
Timestamp	M
Response Timestamp	M
Holder Status	O
Residency Indicator	O
Email Address	O
Email Purpose	O

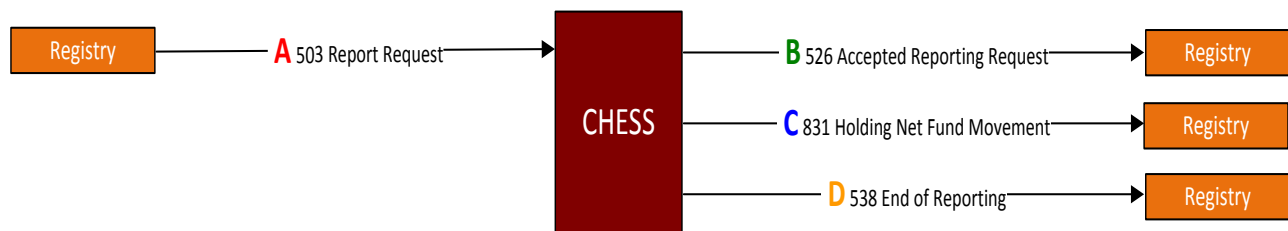
D 538 End of Reporting	M / O
Processing Timestamp	M
Total Message Count	M
Origin Transaction Id	M

B 526 Accepted Reporting Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M



The MT503 *Report Request* allows CHES users to tailor their reporting needs. The parameters offered provide flexibility as to the frequency, range and format of the furnished report. Optional fields may need data depending on the report selected.

Reporting: Holding Net Fund Movement (HMV)



A 503 Report Request	M / O
Security Code Parameter	O
Corporate Action Type Id Parameter	O
Reporting Start Date	O
Reporting End Date	O
HIN Parameter	O
PID Parameter	O
Payment Facility Parameter	O
Subposition Type Parameter	O
Takeover Code Parameter	O
Transaction Id	M
Transaction Id Parameter	O
Reporting Id	M
Processing Frequency	M
Ex Date Parameter	O
Number Of Days Parameter	O
Position Type Parameter	O
Processing Point	O
Processing Period	O
Start Date Parameter	O
End Date Parameter	O
As At Date Parameter	O
Reporting Id Parameter	O
Transaction Class Parameter	O
Origin Transaction Id	O

C 831 Holding Net Fund Movement	M / O
Fund Code	M
APIR Code	O
Date	M
HIN	M
Processing Timestamp	M
Origin Transaction Id	M
Fund Net Offs	M
Closing Fund Balance	M
Fund Net Ons	M
Fund Movement from Registry	M
Fund Movements to Registry	M

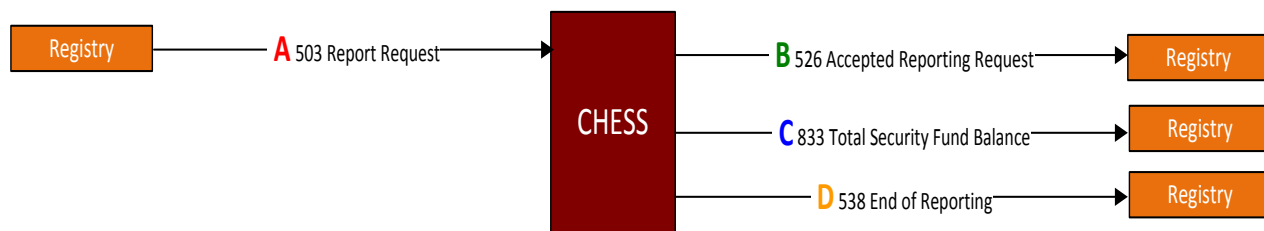
D 538 End of Reporting	M / O
Processing Timestamp	M
Total Message Count	M
Origin Transaction Id	M

B 526 Accepted Reporting Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M



The MT503 Report Request allows CHES users to tailor their reporting needs. The parameters offered provide flexibility as to the frequency, range and format of the furnished report. Optional fields may need data depending on the report selected.

Reporting: Total Security Fund Balance (TSB)



A 503 Report Request	M / O
Security Code Parameter	O
Corporate Action Type Id Parameter	O
Reporting Start Date	O
Reporting End Date	O
HIN Parameter	O
PID Parameter	O
Payment Facility Parameter	O
Subposition Type Parameter	O
Takeover Code Parameter	O
Transaction Id	M
Transaction Id Parameter	O
Reporting Id	M
Processing Frequency	M
Ex Date Parameter	O
Number Of Days Parameter	O
Position Type Parameter	O
Processing Point	O
Processing Period	O
Start Date Parameter	O
End Date Parameter	O
As At Date Parameter	O
Reporting Id Parameter	O
Transaction Class Parameter	O
Origin Transaction Id	O

C 833 Total Security Fund Balance	M / O
Fund Code	M
APIR Code	O
Processing Timestamp	M
Origin Transaction Id	M
Total Fund Units on Register	M

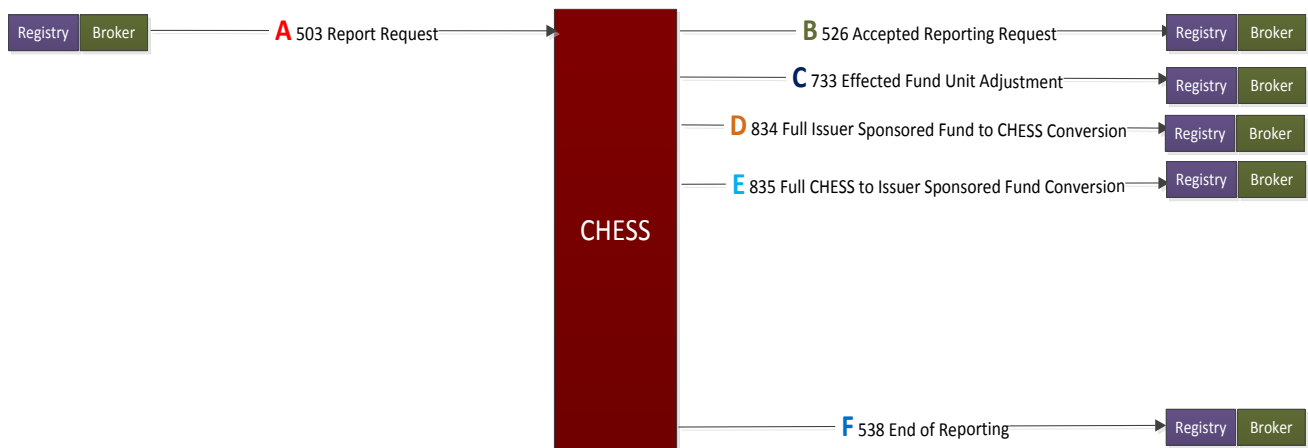
D 538 End of Reporting	M / O
Processing Timestamp	M
Total Message Count	M
Origin Transaction Id	M

B 526 Accepted Reporting Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M



The *MT503 Report Request* allows CHES users to tailor their reporting needs. The parameters offered provide flexibility as to the frequency, range and format of the furnished report. Optional fields may need data depending on the report selected.

Reporting: Full Fund Holding Transaction (FHT)



A 503 Report Request	M / O
Security Code Parameter	O
Corporate Action Type Id Parameter	O
Reporting Start Date	O
Reporting End Date	O
HIN Parameter	O
PID Parameter	O
Payment Facility Parameter	O
Subposition Type Parameter	O
Takeover Code Parameter	O
Transaction Id	M
Transaction Id Parameter	O
Reporting Id	M
Processing Frequency	M
Ex Date Parameter	O
Number Of Days Parameter	O
Position Type Parameter	O
Processing Point	O
Processing Period	O
Start Date Parameter	O
End Date Parameter	O
As At Date Parameter	O
Reporting Id Parameter	O
Transaction Class Parameter	O
Origin Transaction Id	O

C 733 Effected Fund Unit Adjustment	M / O
Fund Code	M
APIR Code	O
HIN	M
Fund Reason	M
Increase or Decrease	M
Transaction Id	M
Origin Transaction Id	M
Effected Timestamp	M
Registry Reference	O
Adjustment Units	M
New Fund Holding Balance	M

B 526 Accepted Reporting Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M



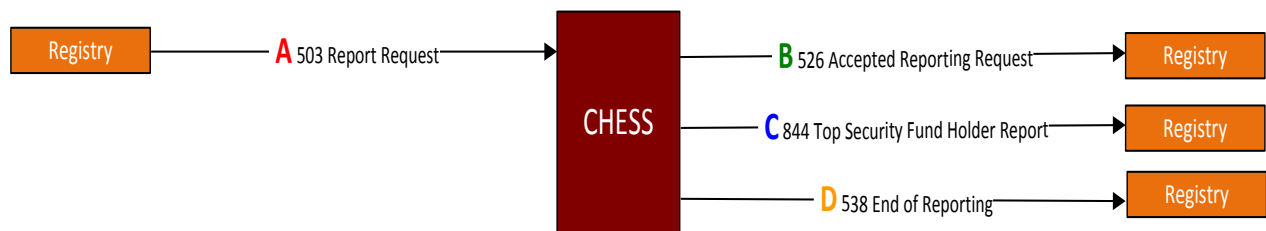
The MT503 Report Request allows CHES users to tailor their reporting needs. The parameters offered provide flexibility as to the frequency, range and format of the furnished report. Optional fields may need data depending on the report selected.

D 834 Full Issuer Sponsored Fund To CHES Conversion		M / O
Fund Code		M
APIR Code		O
Receiving HIN		M
Receiving PID		M
Processing Timestamp		M
Holding Transaction Status		M
Movement Reason		M
Participant Reference		O
Supplementary Reference		O
Transaction Id		M
Security Holder Reference Number		M
Origin Transaction Id		M
Initial Timestamp		M
Effected Timestamp		M
Registry Reference		O
Number of Units		M
New Fund Holding Balance		O

E 835 Full CHES to Issuer Sponsored Fund Conversion		M / O
Fund Code		M
APIR Code		O
Delivering HIN		M
Delivering PID		M
Processing Timestamp		M
Movement Reason		M
Participant Reference		O
Supplementary Reference		O
Transaction Id		M
Security Holder Reference Number		O
Delivering Registration Details		M
Origin Transaction Id		M
Underlying Reference		O
Effected Timestamp		M
Number of Units		M
New Fund Holding Balance		M

F 538 End of Reporting		M / O
Processing Timestamp		M
Total Message Count		M
Origin Transaction Id		M

Reporting: Total Security Fund Holder Report (TSH)



A 503 Report Request	M / O
Security Code Parameter	O
Corporate Action Type Id Parameter	O
Reporting Start Date	O
Reporting End Date	O
HIN Parameter	O
PID Parameter	O
Payment Facility Parameter	O
Subposition Type Parameter	O
Takeover Code Parameter	O
Transaction Id	M
Transaction Id Parameter	O
Reporting Id	M
Processing Frequency	M
Ex Date Parameter	O
Number Of Days Parameter	O
Position Type Parameter	O
Processing Point	O
Processing Period	O
Start Date Parameter	O
End Date Parameter	O
As At Date Parameter	O
Reporting Id Parameter	O
Transaction Class Parameter	O
Origin Transaction Id	O

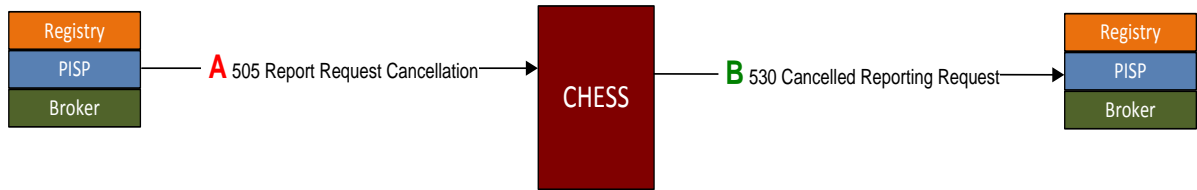
C 844 Top Security Fund Holder Report	M / O
Fund Code	M
APIR Code	O
Opening Balance Date	M
Closing Balance Date	M
HIN	M
Holder Type	M
Controlling PID	M
Processing Timestamp	M
Registration Details	M
Origin Transaction Id	M
Residency Indicator	M
Total Fund Movements Off	M
Closing Fund Balance	M
Total Fund Movements On	M
Opening Fund Balance	M

D 538 End of Reporting	M / O
Processing Timestamp	M
Total Message Count	M
Origin Transaction Id	M

B 526 Accepted Reporting Request	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M

i The MT503 Report Request allows CHES users to tailor their reporting needs. The parameters offered provide flexibility as to the frequency, range and format of the furnished report. Optional fields may need data depending on the report selected.

Reporting: Report cancellation



A 505 Report Request Cancellation		M / O
Transaction Id		M
Target Transaction Id		M

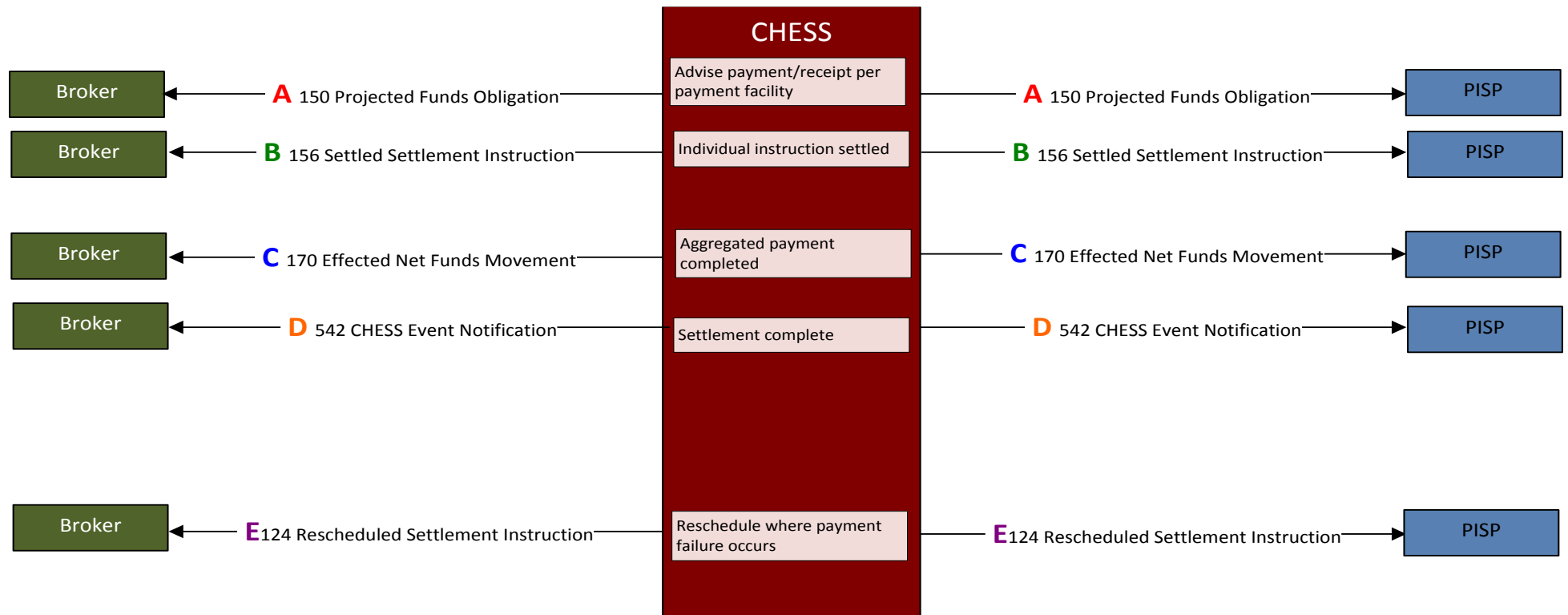
B 530 Cancelled Reporting Request		M / O
Processing Timestamp		M
Transaction Id		M
Origin Transaction Id		M

Settlement

The following section describes the message suite relating to the processing of settlement transactions. The diagram shows the message interactions between the participants and CHES. The data within each message is shown and the mandatory – optional attribute is highlighted.

Settlement within mFund is the consequence of the creation of CHES MT731 Scheduled Settlement Payment Instruction messages (refer Application Settlement Payment for Fund Units and Redemption Settlement Payment)

Settlement: mFund



A 150 Projected Funds Obligation	M / O
Projected Funds Position	M
Settlement Date	M
Processing Timestamp	M
Payment Facility Id	M
Pay Receive Indicator	M
Origin Transaction Id	M
Settlement Step	O

D 542 CHESS Event Notification	M / O
Processing Timestamp	M
Origin Transaction Id	M
CHESS Event Type	M

B 156 Settled Settlement Instruction	M / O
Processing Timestamp	M
Transaction Id	M
Origin Transaction Id	M
Settled Timestamp	M
Receiving Net Movement Trans Id	O
Delivering Net Movement Trans Id	O
Net Funds Transaction Id	O

E 124 Rescheduled Settlement Instruction	M / O
Settlement Date	M
Processing Timestamp	M
Target Transaction Id	M
Reschedule Reason	M
Origin Transaction Id	M
Updating Transaction Id	M

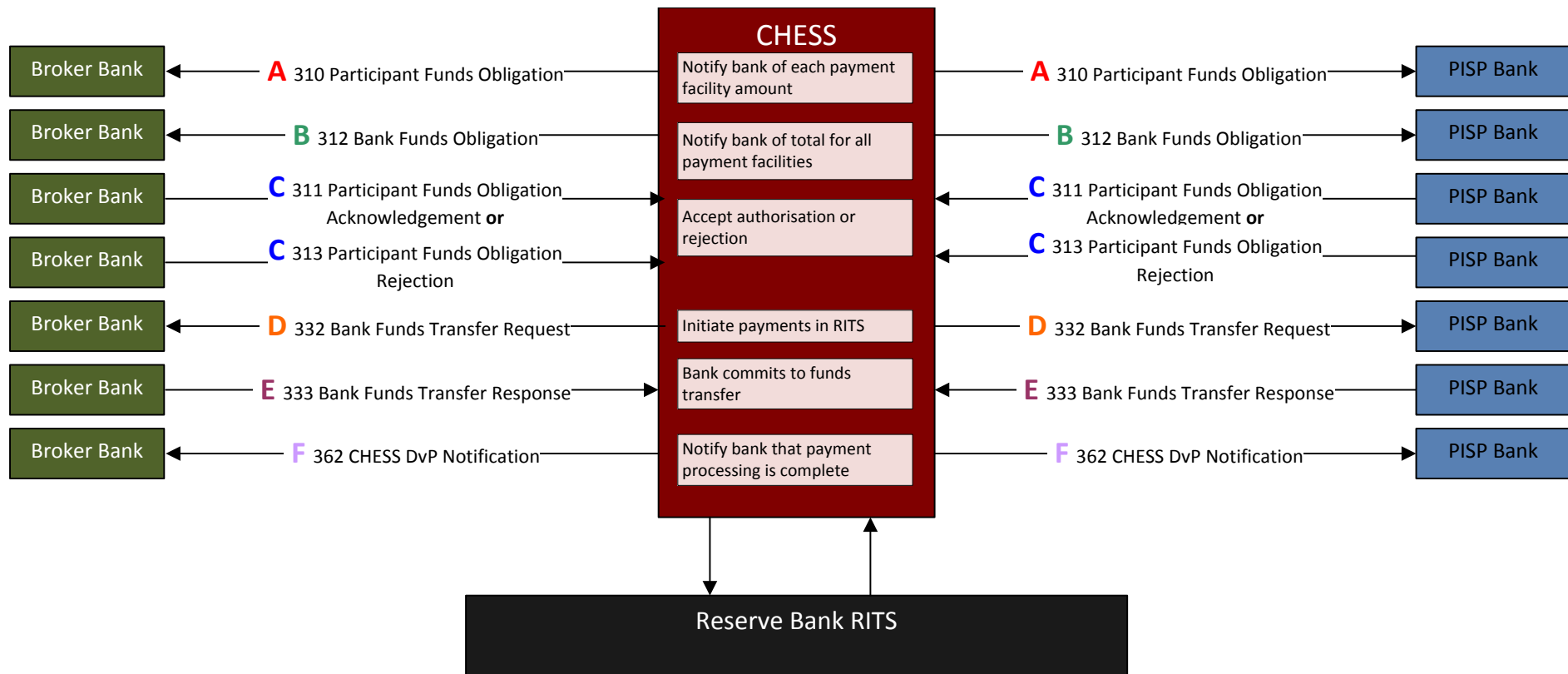
C 170 Effected Net Funds Movement	M / O
Settlement Amount	M
Settlement Date	M
Processing Timestamp	M
Payment Facility Id	M
Pay Receive Indicator	M
Total Message Count	M
Origin Transaction Id	M
Net Funds Transaction Id	M

Payments

The following section describes the message suite relating to the processing of payment transactions. The diagram shows the message interactions between the participants and CHES.

Payment follows settlement and is conducted between the parties payment providers (banks) using the Reserve Bank RITS interbank payments system.

Payments: mFund



CHES Messaging

A number of CHES messages are required to manage the workflow for the mFund Settlement Service. CHES messages and associated data fields are documented in the CHES External Interface Specification (EIS) and are available through the following link: [CHES External Interface Specifications \(EIS\)](#)

- **P** is used to denote a Broker Participant
- **PISP** is used to denote a PISP (Product Issuer Settlement Participant)
- **C** is used to denote CHES
- **R** is used to denote an Issuer Registry

CHES Message	Message Description	Sender	Receiver
080	Rejected Registration Details Update	C	P
116	Cancelled Settlement Instruction	C	P / PISP
124	Rescheduled Settlement Instruction	C	P / PISP
150	Projected Funds Obligation	C	P / PISP
154	Cancelled Funds Obligation	C	P / PISP
156	Settled Settlement Instruction	C	P / PISP
158	Participant Counterparty Balance	C	P / PISP
170	Effected Net Funds Movement	C	P / PISP
180	Full Settlement Instruction	C	P / PISP
188	Full Adjusted Settlement Instruction	C	P / PISP
201	New Registration Details	P / PISP	C
202	Accepted New Registration Details	C	PISP
203	Registration Details Update Request	P / PISP	C
204	Locked CHES Holding	C	P
206	Unlocked CHES Holding	C	P
218	Accepted Registration Details Update	C	P
220	Authorised Registration Details	C	P
222	Holder Detail	C	P / PISP
224	Holder History	C	P / PISP
226	User Detail	C	P / PISP
228	User History	C	P / PISP
230	Payment Facility Detail	C	P / PISP
232	Payment Facility History	C	P / PISP
234	Reporting Request Detail	C	P / PISP
240	Created Payment Facility	C	P / PISP
242	Applied Payment Facility Update	C	P / PISP
244	Cancelled Payment Facility Update	C	P / PISP
245	Change Controlling Participant Request	P	C
246	Accepted Change Controlling Participant Request	C	P
247	Change Controlling Participant Cancellation Request	P	C
248	Change Controlling Participant Authorisation Request	C	P
250	Cancelled Change Controlling Participant Request	C	P

CHES Message	Message Description	Sender	Receiver
251	Change Controlling Participant Authorisation	P	C
252	Effected Change Controlling Participant	C	P
253	Change Controlling Participant Rejection	P	C
254	Rejected Change Controlling Participant	C	P
256	Applied Change Controlling Participant Reject	C	P
451	Participant to CHES SRN Request	P	C
452	CHES to Participant SRN Request Acknowledgment	C	P
453	Registry to CHES SRN Response	R	C
454	CHES to Registry SRN Request	C	R
455	Registry to CHES SRN Reject	R	C
456	CHES to Registry SRN Response Acknowledgment	C	R
458	CHES to Participant SRN Response	C	P
460	CHES to Registry SRN Reject Acknowledgment	C	R
462	CHES to Participant SRN Reject	C	P
503	Reporting Request	P / PISP / R	C
505	Report Request Cancellation	P / PISP / R	C
512	Holding Registration Details	C	R
518	Rejected Transaction	C	P / PISP / R
526	Accepted Reporting Request	C	P / PISP / R
528	Archived Sub-Register	C	P / R
530	Cancelled Reporting Request	C	P / PISP
533	Tax File Number/Australian Business Number Advice	P	C
534	Notified Tax Number / Australian Business Number Advice	C	R
536	Accepted Tax Number / Australian Business Number Advice	C	P
538	End of Reporting	C	P / PISP / R
540	Invalid Transaction	C	P / PISP / R
542	CHES Event Notification	C	P / PISP / R
694	Cancelled Conversion or Conversion Request	C	P / R
715	CHES to Issuer Sponsored Fund Conversion Request	P	C
716	CHES Conversion Request to Issuer Sponsored Fund	C	R
717	Effected CHES Conversion Request to Issuer Sponsored Fund	C	P
718	Issuer Sponsored Fund to CHES Conversion Request	P	C
719	Issuer Sponsored Fund to CHES Conversion Authorisation Request	C	R
720	Accepted Participant Request	C	P
721	Conversion Authorisation Issuer Sponsored Fund to CHES	R	C
722	Fund Response	C	PISP/R
723	Effected Conversion Issuer Sponsored Fund to CHES	C	P
724	Conversion Rejection Issuer Sponsored Fund to CHES	R	C
725	Rejected Conversion Issuer Sponsored Fund to CHES	C	P
726	Application Request	P	C
727	Application Order Request	C	PISP
729	Application Order / Payment Plan Application Response	PISP	C

CHES Message	Message Description	Sender	Receiver
730	Effected Application Order / Payment Plan Application Response	C	P
731	Scheduled Settlement Payment Instruction	C	P / PISP
732	Unit Adjustment	PISP	C
733	Effected Fund Unit Adjustment	C	P
757	Holding Advice	P	C
758	Holding Advice Acknowledgment	C	P
759	Holding Advice Acceptance	R	C
760	Holding Advice Notification	C	R
761	Holding Advice Rejection	R	C
762	Effected Registry Transaction	C	R
764	Accepted Holding Advice	C	P
766	Rejected Holding Advice	C	P
800	Redemption Request	P	C
801	Redemption Order Request	C	PISP
802	Redemption Order Response	PISP	C
803	Effected Redemption Order Request	C	P
804	Fund Order Cancellation Request	P	C
805	Order Cancellation Request	C	PISP
806	Switch Request	P	C
807	Switch Order Request	C	PISP
808	Switch Order Response	PISP	C
809	Effected Switch Order Request	C	P
810	Update Order	PISP	C
811	Effected Update Order	C	P
812	Reminder Notice	C	P / PISP
813	Income Statement	R	C
816	Income Statement Advice	C	P
817	Distribution Reinvestment Notification	PISP	C
818	Effected Distribution Reinvestment Plan Advice	C	P
822	Cancelled Funds Settlement Payment Instruction	C	P / PISP
824	Change Settlement Date	C	P / PISP
830	Holding Daily Fund Balance	C	P / R
831	Holding Net Fund Balance	C	R
832	Holding Fund Balance	C	P / R
833	Total Security Fund Balance	C	R
834	Full Issuer Sponsored Fund to CHES Conversion	C	P / R
835	Full CHES to Issuer Sponsored Fund Conversion	C	P / R
837	Participant to CHES Fund Balance Request	P	C
838	CHES to Registry Fund Balance Request	C	R
839	Registry to CHES Fund Balance Response	R	C
840	CHES to Participant Fund Balance Response	C	P
841	Registry to CHES Fund Balance Rejection	R	C

CHES Message	Message Description	Sender	Receiver
842	CHES to Participant Fund Balance Reject	C	P
844	Top Security Fund Holder Report	C	R
845	Unit Reversal Notification	PISP	C
846	Effectuated Unit Reversal Notification	C	P
860	Rejected Registry Authorisation	C	P
863	Distribution Election Request	P	C
864	Distribution Election Authorisation Request	C	R
865	Distribution Registry Authorisation	R	C
866	Accepted Distribution Election Request	C	P
867	Distribution Registry Rejection	R	C
868	Income Statement Authorisation Request	C	R
869	Income Statement Request	P	C
881	Income Statement Authorisation	R	C
884	Accepted Income Statement Request	C	P
902	Full CHES to Issuer Sponsored Fund Conversion	C	P / R
907	Income Statement Rejection	R	C
914	Full Issuer Sponsored Fund to CHES Conversion	C	P / R
957	Registry Income Statement Part A	C	P
958	Accepted Registry Income Statement Set	C	R
959	Registry Income Statement Part B	R	C
960	Rejected Registry Income Statement Set	C	R
961	Registry Income Statement Part C Ai	R	C
963	Registry Income Statement Part C CG	R	C
965	Registry Income Statement Part C FI	R	C
967	Registry Income Statement Part C NA	R	C
969	Registry Income Statement Part C OD	R	C
971	End Registry Income Statement Set	R	C
962	Participant Income Statement Part A	C	P
964	Participant Income Statement Part B	C	P
966	Participant Income Statement Part C Ai	C	P
968	Participant Income Statement Part C CG	C	P
970	Participant Income Statement Part C FI	C	P
972	Participant Income Statement Part C NA	C	P
974	Participant Income Statement Part C OD	C	P
976	End Participant Income Statement Set	C	P

Appendices

Appendix 1: Eligible mFund Security Types

The following table shows the Security Types that apply to mFund securities and the more significant attributes of these securities. High denomination security types are included; these allow a unit price of 99999.9999 to be set. Security Types to allow Call and Put warrants over a mFund security are provided.

mFund security data is disseminated via ASX ReferencePoint.

Security Group	Security Type	Security Type Description	Fractional Units	Tradeable	ASX Corporate Action Processing	CHES Eligibility Indicator
EQY	35	mFund – High Denomination	Y	N	N	4
EQY	38	mFund	Y	N	N	4
WAR	55	QDB Structured Product Call	Y	N	N	4
WAR	56	QDB Structured Product Put	Y	N	N	4
WAR	57	QDB Structured Product Call – High Denom	Y	N	N	4
WAR	58	QDB Structured Product Put – High Denom	Y	N	N	4

Appendix 2: Transaction Identifiers

Throughout CHES messaging is the concept of a Transaction Id. This is used to both initially identify and subsequently refer to specific transactions. CHES will attach the identifier to the stored transaction.

When a user submits a transaction containing either data to be processed by CHES or a request for action on previously submitted data, there must be an unambiguous and unique identifier attached to the transaction. This identifier will be used in the following ways:

- When CHES returns a response to the user, the user's identifier will be included in the response so that the user can match this response to the original input transaction (to mark that the input transaction has been processed).
 - When a user wishes to amend an earlier submitted transaction, the original identifier will be used to inform CHES which transaction is to be amended.
 - Where "dual-entry" type transactions are used, CHES will allocate an identifier with which to tag the transaction and will inform both parties that this is now the identifier with which to refer to the transaction.
- ❖ Specific definitions of the various transaction identifiers are given below.

Format of an Input Transaction Identifier

Where a User submits a Target Transaction Id in a message, this field is copied entirely from a Transaction Id previously notified by CHES.

However, every message submitted by a user to CHES must have a user-generated Transaction Id which has the following format:

A Transaction Id is composed of 16 characters. The sub-fields within these characters are as follows:

- **UIC** (5 numerics) - users must insert their own User Identification Code in this sub-field (refer to Section 10 for description of the UIC).
- **User Defined Identifier** (9 characters) - The user may insert any data in this area. However, it must be unique across all other transactions submitted by that user currently held by CHES.
- **Accrual Number** (2 numerics) - This sub-field must contain numeric zeros. (CHES may generate non-zero accrual number subfields on some messages sent back to the user.)

Format of an Output Transaction Identifier

The format of the Transaction Id in CHES output messages to users will usually follow the above format and its use is explained in the following sections.

Messages to CHES

Transaction Id

This is the unique identifier for this input message. For the input of original data or amendments, it will also form the identifier of the transaction when stored in CHES.

If the message is to change (update or cancel) a transaction, the Transaction Id identifies this change request only, and the message must also include a Target Transaction Id (see below) to identify the primary transaction.

Target Transaction Id

This is the unique identifier of a transaction that is to be changed or actioned. The Target Transaction Id refers to the Transaction Id of the original transaction.

Messages from CHES

Transaction Id, Cancelling Transaction Id, Matching Transaction Id

If one of these fields is present on an output message, it identifies the subject transaction to which this message relates. This may be in response to user input or as a result of processing generated by CHES itself, eg as a result of settlement processing. It is then used in any subsequent amendment input transactions as a Target Transaction Id.

Where a message notifies CHES of new data (eg Application Request, Switch Request) the output Transaction Id identifies this transaction.

Where an amendment to previously stored data is submitted, the output updating or Cancelling Transaction Id identifies the change request.

Target Transaction Id

Where actions are taken on existing transactions (eg amendment or cancellation of previously entered data) this field specifies the Transaction Id of the primary transaction against which this action has been taken.

Origin Transaction Id

This field relates the CHES output message to a specific user input message or identifies some processing performed by CHES. It does not imply anything about identifiers CHES may have allocated to any transaction. It contains one of the following:

- the Transaction Id from the user's corresponding input message to which this is a response. The user can then unambiguously match this message as the application response to a particular input message ; or
- the Transaction Id from the message input by a third party which has resulted in the sending of this message. This can be easily recognised because the UIC value will contain a UIC different from the user's own UIC. Thus, the user knows that this message is not a direct response to one of the user's own input messages ; or
- the Transaction Id of an earlier (or standing) reporting request from the user ; or
- an identifier assigned by CHES where this message is a result of CHES generated processing rather than being a response to any user input transaction.

Appendix 3: Editing Rules for Registration Details

Note: This procedure applies only to those Participants that are authorised to sponsor investors on the CHES Sub-register. This does not apply to Product Issuer Settlement Participants (PISP).

The validation CHES performs on the submitted registration details necessarily forms only a subset of the rules specified in the APG (ASX Settlement Procedure Guidelines). These rules are used to validate all registration details submitted by participants.

The validation rules implemented by CHES for registration details are as follows:

- the name must consist of at least 5 characters;
- for designations, if angle brackets are used, there must be one and only one pair of angle brackets with a left angle bracket (<) followed by a right angle bracket (>);
- only one comma (,) may be present, and this must appear between the name and address. When a designation is present, the comma should follow the closing bracket;
- if the comma (,) is the first character on a 'line', the address may start on the same 'line';
- the address must consist of at least 2 words excluding the post code/country code (a word must consist of at least 1 character);
- the address must not start on the same 'line' as the name (a line is one of the 6 lines of 30 characters that constitute the registration details);
- the backslash (\) character must not be used;
- full stops (.) must not be used;
- a space must not precede the holder name;
- double double or double single quotes must not be used
- abbreviations with no full stops should be used for Australian states. These abbreviations are as follows:
QLD NSW SA WA NT ACT VIC TAS
- Australian state abbreviations must not appear on a line by themselves unless there is insufficient space to appear on the previous line;
- a valid post code or country code must be specified in the last eight characters of the registration details (ie in positions 173 - 180);
- a post code must be in the range 0200 to 0299, 0800 to 7499, or 7800 to 9799 and must be valid for the suburb entered
- the 3 character country code is validated against a list of ISO country codes
- the address text will be validated to ensure the country name description corresponds to the country code provided.

For example: Country code 'NZL' represents New Zealand. If NZL is specified, the text received will be validated to check that New Zealand or an acceptable abbreviation or convention is specified as part of the registration address. If no acceptable text is found, the message received will be rejected.

Appendix 4: Investor Types

The following table lists the valid Investor Types that constitute the mandatory 12th character position of a Tax File Number within the Tax File Number/ABN field.

Investor Type	Description
I	Individual
C	Corporation
T	Trust
P	Partnership
S	Superannuation fund
D	Deceased individual
G	Government organisation
O	Other non-individual

Appendix 5: ASX ReferencePoint

Data via ASX ReferencePoint is provided to support the mFund Settlement Service. All are provided daily to ASX ReferencePoint subscribers.

- Security data
 - All securities admitted for settlement in the mFund Settlement Service
 - E01 MasterList
 - E02 MasterList - increment
- Price data
 - Entry (application) and Exit (redemption) prices for each security within the mFund Settlement Service
 - D11_000E mFund Price
- PDS data
 - PDS Issuer Date, PDS document attachment, Fund Profile attachment for each security within the mFund Settlement Service.
 - E15_000E mFund PDS and Fund Profile

For complete details of the structure and content of the files provided via ASX ReferencePoint, one must be an ASX ReferencePoint subscriber. Please contact ASX Customer Technical Support on 9227 0902 for further information.

Appendix 6: mFund Website

The mFund Settlement Service has a dedicated website. This provides up to date content to support both retail investors and their sponsors (broker participant, PISP, registry).

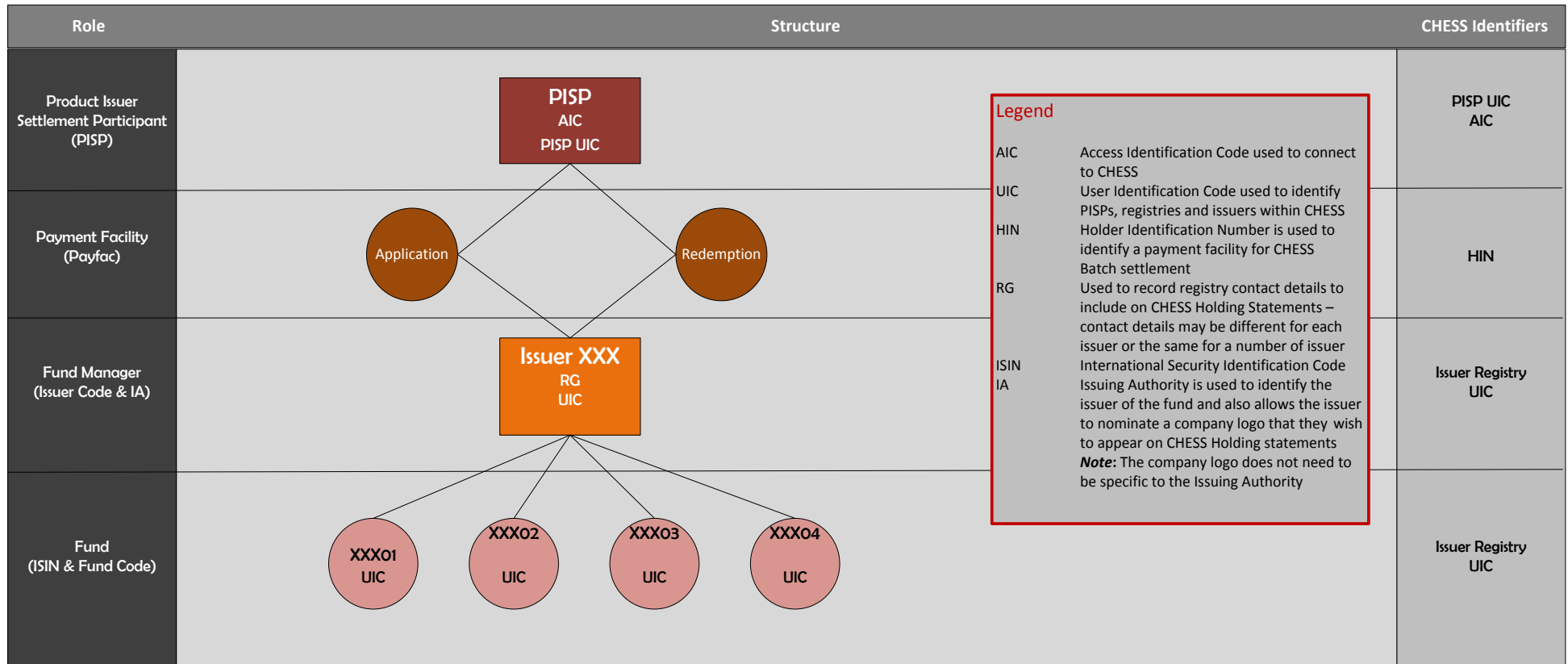
- Outline of the mFund Settlement Service
- mFund Securities
- Prices
- Performance
- mFund accredited brokers
- mFund product issuers
- Investor guides and FAQ

For view the mFund Settlement Service website, follow this link: [mFund Settlement Service](#)

Appendix 7: mFund Participation Models

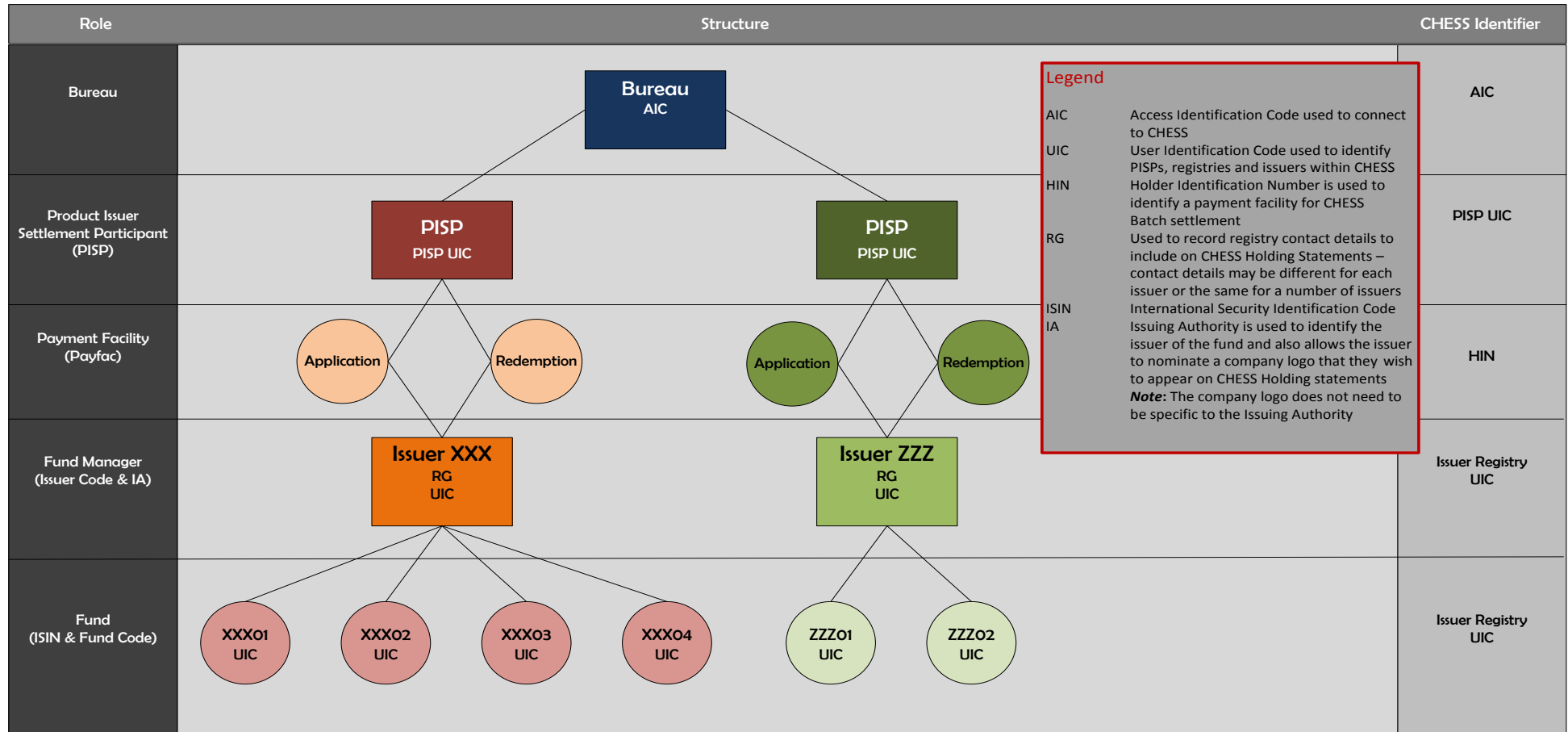
mFund Issuer Model

Where a mFund Issuer takes on the role of PISP for its own funds.



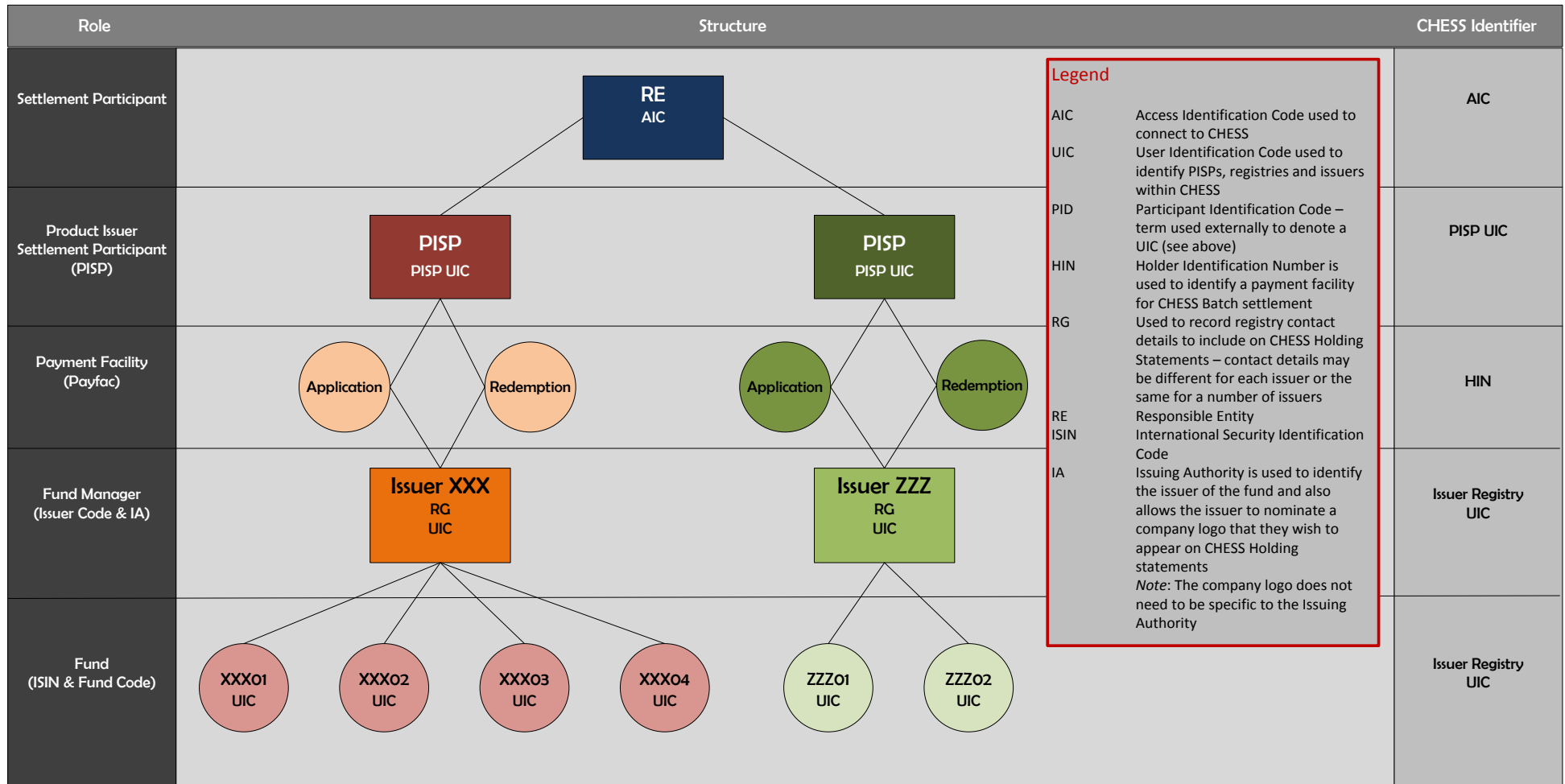
mFund Bureau Model

Where a third party bureau offers to undertake the PISP role on behalf of contracted Issuers.



mFund RE Model

Where a RE (responsible entity) undertakes the PISP role on behalf of a number of Issuers under its control.



Appendix 8: CHES Processing Schedule

CHES users may send requests and instructions to CHES at any time. CHES actions each message at the earliest opportunity, given the constraints of the processing schedule as shown:

Event	Time	Description
Start of Day	06:00	CHES begins processing transactions, including those submitted and queued during End of Day processing.
Fund Request Cut-off	11:15	Fund Application and Redemption requests effecting settlements in the current settlement cycle must be received. Allows 15 minutes for the Product Issuer Settlement Participant to either accept or reject the Fund requests prior to Settlement Cut-Off.
Settlement Cut-off	11:30	All instructions and requests effecting settlements in the current settlement cycle must be received and/or matched. All settlements for the current settlement cycle must have been delivered to CHES. Participants must have moved all financial products due for delivery in this settlement cycle to a settlement HIN. Fund requests accepted or rejected by the Product Issuer Settlement Participant.
CHES Settlement Processing	soon after 11:30 until approx 12:00	CHES determines the funds and financial product obligations for the day and notifies participants and their payment providers. CHES does not process demand Conversion settlement processing
Funds Authorisation	Usually between 11:00 and 12:00	Payment Providers authorise funds delivery on behalf of participants. Participants must have made funds available to their payment provider by this time.
Settlement	approx 12:00	For DvP settlement this is the point of irrevocable exchange of funds for good title in financial products for settlement instructions in this cycle. For Fund Application & Redemption requests this is the point of funds (payment) Conversion. The actual time varies, due to abnormal events and variations in authorisation response times on any given day.
Batch Settlement Processing		CHES effects batch settlement in the CHES subregisters. The actual processing time depends on transaction volumes.

Event	Time	Description
Settlement Reporting Available	Usually from 12:00	Settlement reporting is available immediately following the completion of batch settlement processing.
Funds Availability	Usually after 13:00	Payment providers disburse funds delivered during settlement to participants. Typically, participants should be able to access delivered funds about 30 minutes after settlement.
Settlement Deadline	16:00	The CHES payment instructions must be made before the RITS cut-off for DvP settlement to be effected on a given day.
End of Day	19:00	<p>CHES stops actioning instructions and requests.</p> <p>All messages received are queued for processing at the next Start of Day.</p> <p>CHES performs End of Day processing, which includes corporate action adjustments on holdings and outstanding settlement instructions.</p> <p>CHES produces routine reports and certain demand reports.</p> <p>CHES aggregates value transactions and projects any short positions and net funds obligations for the next settlement cycle.</p>
End of Day Processing Complete		Once CHES End of Day processing is complete, reports may be collected.



CHES queues transactions that it cannot action immediately. In some circumstances a queued transaction may no longer be valid when actioned.