

DD - BDA BROKER DISSEMINATION SPECIFICATION

March 2020

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1 INTRODUCTION TO DISSEMINATION

BDA dissemination data is used in a number of business operations within JSE Equity member firms. The data made available within the BDA dissemination download, is grouped to ensure where possible, relevant data is kept together. This is achieved by grouping data into different Card Codes. This makes it easier for users to know what data is contained in which card codes as different business operations within JSE Equity member firms require different sets of data. Apart from the different sets of data, end users also require data to be separated into different file i.e. the ability to download data in different files. E.g. end users require General Ledger to be separated from other BDA disseminated data. This is achieved by allocating a specific dataset (file) for General Ledger data.

BDA dissemination downloads can be scheduled by users who have the relevant access, as part of the BDA end of day batch process. This can be scheduled using the BDA on-line function RPROC.

In certain instances, users can decide to download a full set of data each day, or depending on the nature of the data, users can download only the changes.

BDA dissemination data can e.g. be used for:

- Importing client holdings and cash balances into trading systems to allow for Pre Trade Risk management
- Creating IT3(b) and IT3(c) files to SARS
- Balance BDA general ledger transactions and balances to in house systems
- Balance sub ledger holdings, open positions and cash balances to in house systems
- Balance Securities Lending and Borrowing transactions where users use external systems

BDA data can be disseminated to JSE Equity members firms and/or their service providers.

2 COPYRIGHT

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3 VERSION CONTROL

Version	Updated By	Date	Reason for changes
V1.12	Barbara Teasdale	21 October 2013	Incorporated Account Upload Card Codes, Elective Event Downloads and Uploads
V 1.13	Julian Amorim		Inclusion of Prime Broking fields
V 1.14	Barbara Teasdale	23 July 2014	Rebranded and Uploads removed. Separate Uploads manual created
V1.15	Barbara Teasdale	27 August 2014	Amendment to Card Code 98 Filler length
V1.16	Barbara Teasdale	13 January 2015	Updates and New Card Codes from the FATCA enhancements
V1.17	Julian Amorim	27 March 2015	Dissemination FATCA changes on RPROC
V1.18	Chris Beilings	21 April 2015	Exclude GL zero balances from record layout 75 and FATCA updates on record layouts 44,45,46,47,48,50,51,52,53,54,55,56,57,58,59
V1.19	Julian Amorim	30 October 2015	Freed indicator on card code 99
V1.20	Chris Beilings	14 December 2015	Designation code added to card code 76 for GL accounts
V1.21	Barbara Teasdale	5 February 2016	Updated with the following fields: BD48 – DTE-DEACTIVATED, BD80 – DIVIDEND ADVICE NOTES indicator, BD81 – TRANSACTION ORIGIN USER, BD 88 – REASON CODE (Account Transfers & Portfolio Moves) and TIME STAMP, BD89 – REF NUMBER (Account Transfers & Portfolio Moves) and TIME STAMP, BD92 – ISIN and CHARGE STRUCTURE CODE and the BEE Instrument/Account Enhancements
V1.22	Chris Beilings	15 February 2016	Addition of Trade Date field to card codes 60 and 61
V1.23	Barbara Teasdale	8 February 2017	Addition of the LTMNT Fields Undocumented Reason Code and General Compliance Reason Code on Card Code 55, Change to the use of the Y/N values for the fields IT3B-EXCL and IT3C-EXCL on Card Code 54 and the addition of the Communication by Issuer field on Card Code 86
V1.24	Barbara Teasdale	16 March 2017	Portfolio Cost from Account Transfers and Portfolio Moves added to Dissem CC 89
V1.25	Sihle Gumede	13 December 2017	Updated with the following fields: BD68 – RET EXEMPT Code and WTI EXEMPT Code
V1.25	Chris Grove	28 August 2018	Updated FUPD – Updated parameter setting from Y to N.
V1.26	Barbara Teasdale	17 March 2020	ICB Sector code changes to card codes 92, 95 and 96 effective from 18 September 2020

4 DOWNLOADING DATA

4.1 Scheduling the Download

The participating Broker must schedule the process DISSEM on RPROC when data is to be downloaded. Multiple requests can be entered. Each request can be tailored to the Brokers daily requirements as follows:

BRANCH/PARTNER CODES	Brokers branch or partner code If left blank, all branch and main office data will be downloaded for all partners.
PF IND/FATCA/FUPD/AC7 PF IND	See detail below: Portfolio indicator If set to 'Y', only portfolio clients' detail will be downloaded If set to 'N', only non-portfolio detail will be downloaded If left blank, all clients' detail will be downloaded
FATCA	'Y' to download FATCA details, 'N' to disregard FATCA details
FUPD	Download only updated FATCA records. FATCA parameter must also be set to 'N'
AC7	If set to Y, new and updated records from record Layout 70 (BEMNT) will be downloaded

Important to note:

Please note that due to the DISSEM screen in RPROC being aligned to the left, values of "Y" or "N" inserted in the FATCA field will move to the PF IND field if the PF IND is left blank.

To overcome this, please ensure that if your intention is to leave the PF IND field blank, so as to receive records for both portfolio and non-portfolio clients, the PF IND field must be populated with a hyphen

NOTE: The BRANCH /PARTNER CODES and PF IND are the highest order of selection. Other selections are within these primary selections.

If UP (Updated records only) are required, the flags for layout 80/85/86/77/78/98 must be set as NNNNNNYY.

AC1/2/3/4/5/6/UP/DEA Download of account details	'Y' or 'N' - record layout 80
Download of account address lines 1 and 2	'Y' or 'N' - record layout 85
Download of account address lines 3 and 4	'Y' or 'N' - record layout 86

Download of account other information	'Y' or 'N' - record layout 77
Download of additional account information	'Y' or 'N' - record layout 78
Download of CSDP account details	'Y' or 'N' - record layout 98
Download of accounts that have changed	'Y' or 'N' - record layouts 80/85/86/77/78/98
Download of accounts deactivated on the day	'Y' or 'N' - record layout 80
BL1/2/PF/GL/NZ1/2/UP	
Download of all accounts 'other' balances	'Y' or 'N' - record layout 90
Download of all accounts trading balances	'Y' or 'N' - record layout 91
Download of all accounts portfolio balances	'Y' or 'N' - record layout 95
Download of all general ledger balances	'Y' or 'N' - record layout 75
Exclude zero balances for record layouts 90 and 91 above	'Y' or 'N'
Exclude zero GL balances for record layouts 75 above	'Y' or 'N'
Download updated balance records only	'Y' or 'N'
RV/FN/SCR/XOP/GL/CS	
Include deal reversals	'Y' or 'N'.
Daily financial movements	'Y' or 'N' - record layout 87
Daily scrip movements	'Y' or 'N' - record layouts 88/89
Include XOP's	'Y' or 'N'
General ledger transactions	'Y' or 'N' - record layout 76
Cash transactions	'Y' or 'N' - record layout 97
DL1/DL2/DL3/DL4/DL5/SET/FREE	
Daily deals	
SET to be changed to Y to receive 'ES' transaction codes	'Y' or 'N' - record layouts 81/82/83/84/99
FREE to be changed to Y to receive 'DF', 'DP' and 'DU' transaction codes	
INS/IUP/BNK/BAL/BDEA	
Instruments	'Y' or 'N' - record layout 92
Download updated instruments only	'Y' or 'N'
Download all bank records. (Y will download	'Y' or 'N'
Download only updated bank records. (Y will download only	'Y' or 'N' - record layout 69
updated bank account details for that day)	
ALL active bank account details if the ALL is set to 'Y'	
and Deactivated indicators are set to 'N' The Bank	
account details also need to be set to 'Y')	'Y' or 'N'
Download deactivated bank records. (Y will download only	'Y' or 'N'
deactivated bank account details for that day. The Bank	
account details also need to be set to 'Y')	
DIVS/R-MSTS/STRT ENT	
All dividends with LDT date more recent than 60	
business days loaded by the listings department	'Y' or 'N' - record layout 93
All 'rights' processes more recent than 20 business days	'Y' or 'N' - record layout 94

All Corporate Actions for STRATE Approved Securities	'Y' or 'N' - record layout 74
PFV/HLD/UP/ENT/SL/CO	
Portfolio holdings Portfolio clients only	'Y' or 'N' - record layout 96
Portfolio holdings all clients	'Y' or 'N' - record layout 96
Download updated portfolio records only	'Y' or 'N' - record layout 96
Download ENTDU records	'Y' or 'N' - record layout 73
SLB records	'Y' or 'N' - record layout 60
Collateral records	'Y' or 'N' - record layout 61
BE/AL/EX/TX/ID/TU/IU	
Download Active BEE Records (will include all records in respect of card code 79)	'Y' or 'N' - record layout 79
All BEE Records (will include all records in respect of card code 79)	'Y' or 'N' - record layout 79
Expired BEE Records (will include all records in respect of card code 79)	'Y' or 'N' - record layout 79
Download All Tax Exemption Info	'Y' or 'N' - record layout 68
Download All Tax ID Information	'Y' or 'N' - record layout 62
Download Updated Tax Exemption Info	'Y' or 'N' - record layout 68
Download Updated Tax ID Information	'Y' or 'N' - record layout 62

4.2 Record Layouts Used

All balance amounts are multiplied by 100, so that they are represented as whole numbers rather than numbers with decimals. The sign for these balance fields precedes the balance figure. (Signs are '+', '-' or space, when the balance is zero). All records are a standard 173 characters long and are blank filled.

4.2.1 Header Record

The first record on the file to be downloaded is the header record.

NOTE: The terms 'machine date' and 'machine time' refer to the actual date and time that the file being downloaded started being written to.

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
DATE	X(10)	CCYY/MM/DD	Machine date
FILLER	X		
TIME	X(8)	HH:MM:SS	Machine time
FILLER	X		
BAT-DTE	9(8)	YEARMDD	Batch run date
FILLER	X(147)		

4.2.2 Trailer Record

The last record on the file to be down loaded is the trailer record.

NOTE: The terms 'machine date' and 'machine time' refer to the actual date and time that the file being downloaded finished being written to.

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
DATE	X(10)	CCYY/MM/DD	Machine date
FILLER	X		
TIME	X(8)	HH:MM:SS	Machine time
FILLER	X		
NARRATIVE	X(20)		'NUMBER OF RECORDS = '
RECORDS	9(9)		Number of detail records on file
FILLER	X		
BAT-DTE	9(8)	YEARMDD	Batch run date
FILLER	X(117)		

5 CARD CODE LAYOUTS

5.1 Account Details

5.1.1 Account Details Record 1 - Layout 80

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	80	Card code 80
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
ACC-TYP-CDE	X(2)		Account type code
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
PF-IND	X		Portfolio indicator - 'Y' or 'N'
PF-MAN-CHG-CDE	9(2)		Portfolio management charge code
ADVR-CDE	X(4)		Portfolio advisor code
CLI-TITLE	X(10)		Clients title
INITIALS	X(4)		Clients initials
SURNAME	X(40)		Clients surname
EXTNL-ACC-IND	X		External account indicator
EXTNL-ACC-CDE	X(17)		External account code
MAN-CDE	X(3)		Managed code
SET-TYP-CDE	X		Settlement type code
NON-RES-IND	X		Non-resident indicator
COUNTRY-CDE	X(3)		Country of residence code
INV-TYPE	X(3)		Investment type code
DTE-DEACTIVATED	9(8)		Date deactivated
SEX	X		Male Female or Blank
ID-NO	X(13)		Alternate ID No
LANG-CDE	X		Language code
PRIN-AG-IND	X		Trading capacity indicator
CLI-IND	X(7)		Client indicator
CLI-CAT	X(2)		Client category
SCRIP-ACC-NO	X(12)		Scrip account number
EL-PAY-MAN-DTE	9(8)		Electronic payment mandate date
MIN-NTE-IND	X(1)		Minimised note indicator
ELECTION-IND	X(1)		Election indicator
ELEC-RPT-IND	X(1)		Electronic report indicator
SLB-RATE	9(5)		Scrip lending and borrowing rate
FILLER	X(2)		Spaces

5.1.2 Account Details Record 2 - Layout 85

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	85	Card code 85
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
ADR-LINE-1	X(40)		Address line 1
ADR-LINE-2	X(40)		Address line 2
TEL-NO-1	X(15)		Telephone number 1
TEL-NO-2	X(15)		Telephone number 2
TAX-NO	X(12)		Income tax number
VAT-NO	X(13)		Vat Number
FILLER	X(14)		Spaces
DATE FAX INDEMNITY RECEIVED	X(8)		Date Member indemnified against fax errors
FILLER	X(2)		Spaces

5.1.3 Account Details Record 3 - Layout 86

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	86	Card code 86
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
ADR-LINE-3	X(40)		Address line 3
ADR-LINE-4	X(40)		Address line 4
POSTAL-CDE	X(4)		Postal code
TELEFAX	X(15)		Telefax number
EMAIL-ADDR	X(55)		E-mail address
COMM-BY-ISSUER	X(1)		Communication by Issuer
FILLER	X(4)		Spaces

5.1.4 Account Details Record 4 - Layout 77

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	77	Card code 77
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
FIRST-NAMES	X(40)		First Names
DTE-LOADED	9(8)		Date account loaded
EXCH-CTL	X		Exchange control code
STAFF-IND	X		Staff Indicator
FILLER	9(2)		Filler
FILLER	9(5)		Filler
FILLER	9(11)		Filler
MAND-RCV-DTE	9(8)		Mandate received date
MAND-CHG-DTE	9(8)		Mandate changed date
INSTIT-CDE	X(3)		Institution code
BKGE-PCNT	9(3)		Brokerage percentage
LAS-UPD-DTE	9(8)		Machine date of last update
ACC-ID-CDE	X(3)		Account ID code
FILLER	X(2)		Spaces
SHORT-NAME	X(20)		Shortened account name
REF-BY	X(30)		Name of person who referred client
FILLER	X(6)		Spaces

5.1.5 Account Details Record 5 - Layout 78

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	78	Card code 78
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
CTA-OPTN-CDE	X(1)		Contra parameters option code
MANDATE-MOD	X(1)		Mandate modification indicator
REG-INS-CDE	9(2)		Registration instruction code
SCR-DISP-CDE	X(2)		Scrip disposal code
SC-CHG-CDE	9(2)		Safe custody charge code
SPEC-REG-NAME	X(70)		Full name for registration
NEG-SCALE	X(3)		Negotiated brokerage scale code
INV-RET-CDE	X(2)		Investment return code
ASSET-RATE	9(5)		Account asset rating
CR-LIM-CDE	X(2)		Credit limit
CR-LIM-AMT	9(15)		Credit limit amount
RTS-CONSOL-IND	X(1)		Rights consolidation indicator
CON-KEY-OPTN	X(1)		Consolidation option code
ALLOC-SEQ-NO	9(3)		Scrip allocation sequence code
VAT-INV-IND	X(1)		VAT invoice to be created - 'Y' or ' '
DEL-CHQ-IND	X(1)		Deal cheque production indicator
LEG-ENT-CDE	X(2)		Legal status code
POW-ATT	X(1)		Power of attorney held
MMKT-IND	X(1)		Indicates a money market account
MMKT-MANDATE-DTE	9(8)		Mandate date for money market account
SAFEX-ACC-CDE	X(5)		SAFEX account code related to BDA
SAFEX-RATE-CLASS	X(1)		SAFEX rate charge
UNEX-CDE	X(8)		UNEXcor code
NO-MST-IND	X(1)		Marketable securities tax indicator
CMPY-RPT-IND	X(1)		Company Report indicator
PRIME-BRK-CDE	9(3)		Prime broker Code
PRIME-ACC-CDE	9(7)		Prime account code
PRIME-BRK-VER-DTE	9(8)		Prime broker verification date
PRIME-STATUS-IND	X(1)		Prime status indicator

5.1.6 Account Details Record 6 - Layout 79

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	79	Card code 79
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
PROCS-DTE	9(8)		Process date of entry
BEE-IND	X(1)		Y(yes) or space
EXP-DTE	9(8)		BEE expiry date
POSTAL ADD-C/O-IND	X(1)		Postal Address 'Care of' Address indicator (Y/N)
C/O NAME	X(30)		Postal Address C/O Name
Nameless Account Descriptor	X(18)		Free form field e.g. PLEDGED
PROCESS INTEREST	X(1)		Interest Processing indicator C = Credit Interest Only, D = Debit Interest Only N = neither interest type to be processed B = both types to be processed.
PLEDGE VALUE REQUIRED	9(10)		Amount required to be pledged
POA IN FAVOUR OF	X(55)		Name of person who holds Power of Attorney
SOURCE OF INCOME	X(10)		Client primary source of income
PROCESS MARGIN	X(1)		Y/N - Margins call/refunds processed to the client (not active)
RETAIL-CLI-IND	X(1)		Y/N – Retail Client Indicator
TFSA-IND	X(1)		Tax Free Savings Account Indicator (' ' . Y, N)
FOREIGN-POST-CDE	X(10)		Foreign address Postal Codes
POST-CNTRY-CDE	X(3)		Postal Address Country Code
FILLER	X(1)		Spaces

5.1.7 Account Details Record 7 - Layout 98

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	98	Card code 98
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
CSDP-CDE	X(2)		Bank code
CSDP-BRN-CDE	X(4)		Bank branch code
CSDP-ACC-NO	X(16)		Bank account number
CSDP-BIC-CDE	X(11)		Bank BIC code
CSDP-BP-ID	X(8)		Business partner ID
CSDP-CSD-ACC-NO	9(9)		Bank CSD account number
CSDP-VER-DTE	9(8)		Bank verification date
CSH-AGT-CDE	X(2)		CSA Bank code
CSH-AGT-BRN-CDE	X(4)		CSA Bank branch code
CSH-AGT-ACC-NO	X(16)		CSA Bank account number
CSH-AGT-BIC-CDE	X(11)		Bank BIC code
CSH-AGT-BP-ID	X(8)		Business partner ID
CSH-AGT-VER-DTE	9(8)		CSH bank verification date
CLNT-BIC-CDE	X(11)		Client account BIC code
NTE-IND	X(1)		Electronic broker note indicator
STRT-CSDP-TEL-NO	X(15)		Strate CSDP telephone number
STRT-ACC-TYP-HOLDER	X(1)		Strate CSDP account type holder
SLB-BIC-CDE	X(11)		Lending Desk BIC Code
PRIME-ACC-IND	X(1)		Prime account indicator
FILLER	X(12)		Spaces

5.2 Account Address Maintenance

5.2.1 Account Address Maintenance Details Record 1 - Layout 50

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	50	Card code 50
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
SAME AS POSTAL ADD	X(1)		Same as Postal Address Indicator
PHY ADD C/O IND	X(1)		Physical Address C/O Indicator
PHY-C/O-NAME	X(30)		Physical Address 'Care of' Name
PHY-UNIT-NUMBER	X(5)		Physical Address Unit Number
PHY-COMPLEX-NAME	X(26)		Physical Address Complex Name
PHY-STREET-NUMBER	X(5)		Physical Address Street Number
PHY-STREET/NAME-OF-FARM	X(26)		Physical Address Street Name/Name of Farm
PHY-SUBURB/DISTRICT	X(34)		Physical Address Suburb or District Name
PHY-CITY/TOWN	X(23)		Physical Address City or Town Name
FILLER	X(8)		Spaces

5.2.2 Account Address Maintenance Details Record 2 - Layout 51

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	51	Card code 51
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
PHY-POST-CDE	X(10)		Physical Address Postal Code
PHY-CNTRY-CDE	X(3)		Physical Address Country Code
FAX#2-CNTRY	X(3)		Country Code of Fax Number 2
FAX#2	X(10)		Fax Number 2
TEL#3-CNTRY	X(3)		Country Code of Telephone Number 3
TEL#3	X(10)		Telephone Number 3
TEL#4-CNTRY	X(3)		Country Code of Telephone Number 4
TEL#4	X(10)		Telephone Number 4
E-MAIL#2	X(55)		Additional E-mail Address 2
E-MAIL Descriptor 2	X(26)		E-mail address 2 use description
FILLER	X(26)		Spaces

5.2.3 Account Address Maintenance Details Record 3 - Layout 52

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	52	Card code 52
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
E-MAIL#3	X(55)		Additional E-mail Address 3
E-MAIL Descriptor 3	X(26)		E-mail address 3 use description
E-MAIL#4	X(55)		Additional E-mail Address 4
FILLER	X(23)		Spaces

5.2.4 Account Address Maintenance Details Record 4 - Layout 53

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	53	Card code 53
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
E-MAIL Descriptor 4	X(26)		E-mail address 4 use description
CELL 1	X(10)		Additional cell phone number1
Cell Descriptor 1	X(26)		Cell Phone 1 use description
CELL 2	X(10)		Additional cell phone number2
Cell Descriptor 2	X(26)		Cell Phone 1 use description
CELL 3	X(10)		Additional cell phone number3
Cell Descriptor 3	X(26)		Cell Phone 1 use description
FILLER	X(25)		Spaces

5.2.5 Account Address Maintenance Details Record 5 - Layout 58

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	58	Card code 58
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
TRADING ADDRESS Line 1	X(40)		Trading Address line 1
Line 2	X(40)		Trading Address line 2
Line 3	X(40)		Trading Address line 3
FILLER	X(39)		Spaces

5.2.6 Account Address Maintenance Details Record 6 - Layout 59

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	59	Card code 59
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
Line 4	X(40)		Trading Address line 4
POSTAL CODE	X(10)		Trading Address Postal Code
FILLER	X(109)		Spaces

5.3 Legal and Tax Maintenance

5.3.1 Legal and Tax Maintenance Details Record 1 - Layout 54

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	54	Card code 54
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
ID TYPE	9(3)		Code identifying type of ID
ID	X(30)		ID no or Passport No or CO REG No or Trust No
CTRY-OF-ISSUE/INC	X(3)		Country that issue ID, REG NO, TRUST NO etc.
DTE-OF-ISSUE/INC	9(8)		Date ID was Issued, Date of Incorporation etc.
PP-EXPIRY-DTE	9(8)		Date Passport expires
DTE-OF-BIRTH	9(8)		If an individual, clients date of birth
CNTRY-OF-BIRTH	X(3)		If an individual, clients country of birth
PLACE-OF-BIRTH	X(33)		If an individual, clients place of birth
CTRY-OF-RES-FOR-DWT	X(3)		Country of Residence for DWT
DWT-EXEMP-FORM-REC	X(1)		DWT Exemption Ind. Y/N
IT3B-EXCL	X(1)		Y/N indicator - Y excludes client from IT3B run
IT3C-EXCL	X(1)		Y/N indicator - Y excludes client from IT3C run
DWT FORM-A-OR-B	X(1)		DWT Tax Directive form
DTA-FORM-REC	X(3)		Country Code for DTA received
PASS-THRU	X(1)		Dividend pass through indicator
REASON-FOR-NO-TAX-NUMBER	X(50)		Reason for no Tax number provided by client
FILLER	X(2)		Spaces

5.3.2 Legal and Tax Maintenance Details Record 2 - Layout 55

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	55	Card code 55
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
REPORTING-ACCOUNT	X(1)		Indicates whether foreign tax reporting is required
ACC HOLDER TYP	X(8)		Account Holder Type as per BDA table
ACC STATUS	X(2)		Account Status as per BDA table
LEGAL ENTITY	X(2)		Legal Entity mapped to SARS's Nature of Person
FI GIIN	X(19)		Financial Institutions GIIN if registered
INDICIA1	X(3)		Country code of 1 st indicia recorded
INDICIA2	X(3)		Country code of 2 nd indicia recorded
INDICIA3	X(3)		Country code of 3 rd indicia recorded
INDICIA4	X(3)		Country code of 4 th indicia recorded
INDICIA5	X(3)		Country code of 5 th indicia recorded
TAX-RES1	X(3)		Country of 1 st tax residency
TAX-RES2	X(3)		Country of 2 nd tax residency
TAX-RES3	X(3)		Country of 3 rd tax residency
TAX-RES4	X(3)		Country of 4 th tax residency
TAX-RES5	X(3)		Country of 5 th tax residency
NAL1	X(3)		1 st Nationality
NAL2	X(3)		2 nd Nationality
NAL3	X(3)		3 rd Nationality
NAL4	X(3)		4 th Nationality
NAL5	X(3)		5 th Nationality
UND-REASON-CDE	X(3)		CRS Undocumented Reason Code
GEN-COMPLNCE-REASON-CDE	X(3)		CRS General Compliance Reason Code
FILLER	X(76)		Spaces

5.3.3 Legal and Tax Maintenance Details Record 3 - Layout 56

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	56	Card code 56
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
TIN1	X(20)		1 st Foreign Tax Identification Number
TIN2	X(20)		2 nd Foreign Tax Identification Number
TIN3	X(20)		3 rd Foreign Tax Identification Number
TIN4	X(20)		4 th Foreign Tax Identification Number
TIN5	X(20)		5 th Foreign Tax Identification Number
JUR1	X(3)		Country of jurisdiction of 1 st TIN
JUR2	X(3)		Country of jurisdiction of 2 nd TIN
JUR3	X(3)		Country of jurisdiction of 3 rd TIN
JUR4	X(3)		Country of jurisdiction of 4 th TIN
JUR5	X(3)		Country of jurisdiction of 5 th TIN
FILLER	X(44)		Spaces

5.3.4 Legal and Tax Maintenance Details Record 4 - Layout 57

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	57	Card code 57
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
SIC-CDE	9(5)		Standard Industrial Classification Code
FICA COMPLIANT	X(1)		FICA compliance Indicator
DATE	9(8)		Date of FICA Compliance
CLIENT RISK	X(1)		Client risk defined as H = HIGH, M = MEDIUM or L = LOW
SANCTIONS - POLITICALLY EXPOSED PERSON	X(1)		Y/N indicator – politically exposed person
CPA MARKETING MATERIAL	X(1)		Y/N indicator - CPA marketing material
CPA MATERIAL DISTRIBUTION	X(1)		P - Post or E for E-mail
INDIVIDUALS - PREVIOUSLY DISADVANTAGED	X(1)		Y/N indicator - client of previously disadvantaged race
COMPANIES - ANNUAL TURNOVER OR ASSET VALUE	9(15)		Annual Turnover or Asset Value of a company
TRUSTS - NO OF TRUSTEES	9(4)		Number of Trustees
JURISTIC TRUSTEE	X(1)		Y/N - is any trustee a juristic person
BND-NAME	X(70)		Clean Name for BND Dissemination
RE-VER-DTE	9(8)		Date Account was re-verified
FILLER	X(42)		Spaces

5.4 Supplementary Names and Addresses

5.4.1 Supplementary Names and Address Details Record 1 – Layout 44

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	44	Card code 44
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
ACC-TYP-CDE	X(2)		Account type code
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
FIRST-NAMES	X(40)		Account holders first names
C/O-ADD-IND	X(1)		'Care of' Address indicator (Y/N)
TITLE	X(10)		Clients title
INITIALS	X(4)		Clients initials
NAME	X(40)		Clients surname
SA RESIDENT	X(1)		Y/N indicator
ADR-LINE-1	X(40)		Address line 1
POSTAL-CDE	X(4)		Postal code
COUNTRY-CDE	X(3)		Country of residence code
FGN-POST-CDE	X(10)		Foreign Address Postal Code
FILLER	X(0)		Spaces

5.4.2 Supplementary Names and Address Details Record 2 – Layout 45

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	45	Card code 45
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
ADR-LINE-2	X(40)		Address line 2
ADR-LINE-3	X(40)		Address line 3
ADR-LINE-4	X(40)		Address line 4
TEL-NO-1	X(15)		Telephone number 1
TEL-NO-2	X(15)		Telephone number 2
FILLER	X(9)		Spaces

5.4.3 Supplementary Names and Address Details Record 3 – Layout 46

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	46	Card code 46
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
TELEFAX	X(15)		Telefax number
EMAIL-ADDR	X(55)		E-mail address
ALPHA-CDE	X(20)		Alpha or shortened account name
INSTIT-TYP	X(3)		Institution Code
LANG-CDE	X(1)		Language Code (E, A)
SCR-DISP-CDE	X(2)		Scrip Disposal Code
ETC-FUND-CDE	X(3)		Electronic Trade Confirmation Fund Code
ETC-FUND-BIC	X(11)		Electronic Trade Confirmation Fund BIC
FILLER	X(34)		Spaces

5.4.4 Supplementary Names and Address Details Record 4 – Layout 47

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	47	Card code 47
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
ELEC-RPT-IND	X(1)		Electronic report indicator
SHAREHOLDER-%	9(3)		% this account holder holds in the linked entity
CONTROL-PERSON-TYP	X(8)		Identifies type of controlling person
CONTACT	X(55)		Contract person details
CELL	9(10)		Cell Number
Cell use	X(40)		Field used to describe when cell to be used
FILLER	X(42)		Spaces

5.5 Account Relationships

5.5.1 Account Relationships – Layout 48

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	48	Card code 48
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
REL-CDE	X(2)		Relationship code on ARMNT (as per T.REL)
SUPP-ACC-BRK	9(3)		Numeric Broker code of the linked account
SUPP-ACC-CDE	9(7)		Linked supplementary Account number
COPIES	9(2)		No of Copies
FREQUENCY	X(1)		Frequency at which reports must be produced
MNTH	9(2)		Month of the quarter etc. at which report must be produced
DAY	9(2)		Day in the month on which report must be produced.
ACR-DTE-DEACTIVATED	9(8)		Date of deactivation of the ARMNT record
FILLER	X(132)		Spaces

5.6 BEE Instrument/Account Information

5.6.1 BEE Instrument/Account - Layout 70

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	'BD'	System BDA
CARD-CDE	9(2)	70	Card Code 70
BRK-CDE	9(3)		Broker Code
ACC-CDE	9(7)		Clients Account Code
INSTR-TYP	X(1)		Instrument Type
INSTR-ALPHA	X(6)		Instrument Alpha
INSTR-VERSION	9(3)		Instrument Version Number
DTE-EFF-FROM	9(8)		Accounts Effective From Date
DTE-EFF-TO	9(8)		Accounts Effective To Date
DTE-DEACTIVATED	9(8)		Date Record Deactivated
FILLER	X(125)		Spaces

5.7 Balance Details

5.7.1 Balances Record 1 - Layout 90

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	90	Card code 90
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
BAL-CDE	X(2)		Balance code
KOU-SIGN	X	+/-	Sign of cash balance
KOU-CASH-BAL	9(15)		Cash balance
KOU-JSET-SIGN	X	+/-	Sign of JSE trustees balance
KOU-JSET-BAL	9(15)		JSE Trustees balance
FILLER	X(125)		Spaces

5.7.2 Balances Record 2 - Layout 91

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	91	Card code 91
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
K06-SIGN	X	+/-	Sign of cash balance
K06-CASH-BAL	9(15)		Cash balance
K06-JSET-SIGN	X	+/-	Sign of JSE trustees balance
K06-JSET-BAL	9(15)		JSE Trustees balance
K06-CS-SIGN	X	+/-	Sign of current sales balance
K06-CUR-SAL	9(15)		Current sales balance
K06-CP-SIGN	X	+/-	Sign of current purchases balance
K06-CUR-PUR	X(15)		Current purchases balance
K06-FS-SIGN	X	+/-	Sign of future sales balance
K06-FUT-SAL	9(15)		Future sales balance
K06-FP-SIGN	X	+/-	Sign of future purchases balance
K06-FUT-PUR	9(15)		Future purchases balance
K06-FR-SIGN	X	+/-	Sign of free deals balance
K06-FREE-BAL	9(15)		Free deals balance
FILLER	X(47)		Spaces

5.7.3 Portfolio Balances Record - Layout 95

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	95	Card code 95
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
INSTR-TYP	X		Share type code, E = equity, G = bond
ICB SECTOR-CDE	X(4)		Spaces
COST-SIGN	X	+/-	Sign of position cost
POSN-COST	9(15)		Cost of position
VAL-SIGN	X	+/-	Sign of current market value
POSN-VAL	9(15)		Current market value of position
INC-SIGN	X	+/-	Sign of income
POSN-INC	9(15)		Income from position
VAL-CLNP-SIGN	X	+/-	Sign of clean price value
POSN-VAL-CLNP	9(15)		Clean price value
INVEST-TYPE	X		Investment Type
BOARD-IND	X		Board Field (ALTX Board: A, DCM Board: D, JSE Overall: J, NAM Overall: N, VCM Board: V)
ICB SECTOR-CDE	X(8)		New ICB sector code
FILLER	X(80)		Spaces

5.7.4 GL Balances Record - Layout 75

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	75	Card code 75
BRK-CDE	9(3)		Broker code
GL-ACC-CDE	9(7)		General ledger account code
EXCH-CTL	X		Exchange control code
BAL-CDE	X(2)		Balance code
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
CASH-ALPHA	X(2)		Alpha code of bank account
GL-GRP-CDE	X(2)		Trial Balance group code
GL-SEQ-KEY	X(4)		Order within a group
GL-ACC-TYP	X(4)		Account type
BANK-CDE	X(2)		Bank code
BANK-BRN-NO	X(3)		Bank branch number
BANK-ACC-NO	X(11)		Bank account number
BANK-ACC-TYP	X		Bank account type
DESCRIP40	X(40)		Name of account
CSH-SIGN	X	+/-	Sign of cash balance
CASH-BAL	9(15)		Cash balance
INS-GRP-CDE	X(2)		Inspectorate group code
INS-SEQ-KEY	X(4)		Inspectorate sequence within group
TYPE	X		'I' or 'B'
FILLER	X(7)		Spaces
BAT-DTE	9(8)		Batch run date
FILLER	X(45)		Spaces

5.8 Daily Financial Movements

5.8.1 Financial Transaction Records - Layout 87

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	87	Card code 87
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
BAL-CDE	X(2)		Balance code
DESIG-CDE	X(2)		Designation code
SIGN-AMT	X	+/-	Sign of transaction amount
TRAN-AMT	9(15)		Transaction amount
TRAN-NARATV	X(40)		Transaction narrative
FIN-TRAN-CDE	X(2)		Transaction code
DOC-REF-NO	X(6)		Document reference number
CHQ-DEP-NO	9(7)		Cheque deposit number
CASH-ALPHA	X(2)		Alpha code of bank if cash transaction
AGE-DTE	9(8)		Age date of transaction
EXCH-CTL	X		Exchange control code
GENRL-ANALS	X(9)		General analysis code
FILLER	X(64)		Spaces

5.9 Scrip Records

5.9.1 Scrip Transaction Record 1 - Layout 88

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	88	Card code 88
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
INSTR-TYP	X		Share type code, E = equity, G = bond
INSTR-ALPHA	X(6)		Share alpha code
INSTR-VERSION	9(3)		Share version number
SCR-TYP	X(2)		Scrip type, eg C = certificate.
CERT-NO	X(9)		Certificate number
DEED-NO	X(9)		Transfer deed number
SCR-RCPT-NO	X(9)		Scrip receipt number
SCR-SEQ-NO	9(3)		Scrip sequence number
SCR-REC-ORG	X(2)		Scrip record origin
DTE-RCVD	9(8)		Date scrip was received
LOCN-ALPHA	X(2)		Location alpha code after transaction
LOCN-BRN	X(2)		Branch code of scrip after transaction.
SIGN-QTY	X	+/-	Sign of transaction quantity
TRAN-QTY	9(11)		Transaction quantity
SIGN-AMT	X	+/-	Sign of transaction amount
TRAN-AMT	9(15)		Transaction amount
AGE-DTE	9(8)		Age date of transaction
LOCN-ALPHA2	X(2)		Location alpha code before transaction.
LOCN-BRN2	X(2)		Branch code of scrip before transaction.
LOCN-DUE	X(2)		Location alpha code of scrip destination.
SCR-TRAN-CDE	X(2)		Transaction code
REG-CDE	9(2)		Nominee company registration code
DEL-ID	9(7)		Deal id
REASON	X(40)		Account Transfer or Portfolio Move Reason
TRAN-ORG-TIME	9(6)		The time of the original transaction took place
FILLER	X(4)		Space

NB: If a transaction record is for a managed client with scrip held in dematerialised form, users should be aware of the following:

1. A transaction record for this client will contain 'dematerialised' data which, differs from the current data in the following fields:

BDA FIELD NAME	LENGTH	DESCRIPTION
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SCR-TYP	X(2)	'DM' = Dematerialised
CERT-NO	X(9)	Same as ACC-CDE, left-justified with leading zeros i.e.123467bb or 001234bb
DEED-NO	X(9)	Nominee Company account - left-justified with leading zeros i.e. 0039xxcbb
SCR-RCPT-NO	X(9)	Zero
SCR-SEQ-NO	9(3)	Spaces
SCR-REC-ORG	X(2)	Spaces
DTE-RCVD	9(8)	Zero
LOCN-ALPHA	X(2)	Same as the reg-cde
LOCN-BRN	X(2)	'O' spaces
TRAN-QTY	X	Updated
AGE-DTE	9(8)	Zero
LOCN-DUE	X(2)	Zero
SCR-TRN-CDE	X(2)	Same as for non-DM scrip
DEL-ID	9(7)	Zero

2. A transaction record for the Nominee Company of this client will contain data of fungible scrip received, moved or dispatched. This transaction record is in the same format, with the same content as the current records, but the account number, is the account number of the Nominee Company.

5.9.2 Scrip Transaction Record 2 - Layout 89

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	89	Card code 89
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
INSTR-TYP	X		Share type code, E = equity, G = bond
INSTR-ALPHA	X(6)		Share alpha code
INSTR-VERSION	9(3)		Share version number
SCR-TYP	X(2)		Scrip type, eg C = certificate.
CERT-NO	X(9)		Certificate number
DEED-NO	X(9)		Transfer deed number
SCR-RCPT-NO	X(9)		Scrip receipt number
SCR-SEQ-NO	9(3)		Scrip sequence number
REG-HOLDER	X(70)		Name of registered holder of the scrip
REF-NUMBER	X(11)		Account Transfer or Portfolio Move Reference Number
TRAN-ORG-TIME	9(6)		The time of the original transaction took place
SIGN-COST-OTH	X		Sign of Portfolio cost
COST-PF-OTH	9(15)		Account Transfer or Portfolio Move Portfolio Cost per transaction
FILLER	X(14)		Spaces

5.10 GL Records

5.10.1 GL Transaction Record - Layout 76

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	76	Card code 76
BRK-CDE	9(3)		Broker code
GL-ACC-CDE	9(7)		General ledger account code
EXCH-CTL	X		Exchange control
BAL-CDE	X(2)		Balance code
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
CASH-ALPHA	X(2)		Alpha code for cash account
GL-REC-TYP	X		General ledger record type
ACC-CDE	9(7)		Dealing account code
ACC-TYP-CDE	X(2)		Account type code
GENRL-ANALS	X(9)		General analysis code
REG-CDE	X(2)		Registration code
AGE-DTE	X(8)		Age date of transaction
SUM-TRAN-CDE	X(2)		Summary record transaction code
SIGN-TRAN-AMT	X	+/-	Sign of note amount
TRAN-AMT	9(15)		Note amount
TRAN-NARATV	X(39)		Transaction narrative
DOC-REF-NO	X(6)		Document reference number
CHQ-DEP-NO	9(7)		Cheque deposit number
BAT-DTE	9(8)		Process date of entry
DES-CDE	9(2)		Designation code
FILLER	X(41)		Spaces

5.11 Cash Transactions

5.11.1 Cash Transaction Record - Layout 97

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	97	Card code 97
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
BAL-CDE	X(2)		Balance code
DESIG-CDE	X(2)		Designation code
SIGN-AMT	X	+/-	Sign of transaction amount
TRAN-AMT	9(15)		Transaction amount
TRAN-NARATV	X(40)		Transaction narrative
FIN-TRAN-CDE	X(2)		Transaction code
DOC-REF-NO	X(6)		Document reference number
CHQ-DEP-NO	9(7)		Cheque deposit number
CASH-ALPHA	X(2)		Alpha code of cash account
AGE-DTE	9(8)		Age date of transaction
EXCH-CTL	X		Exchange control code
GENRL-ANALS	X(9)		General analysis code
FILLER	X(64)		Spaces

5.12 Daily Deals

5.12.1 Deals Record 1 - Layout 81

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	81	Card code 81
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
DEL-ID	9(7)		Deal number
DEL-SEQ	9(3)		Deal line sequence number
ACC-TYP-CDE	X(2)		Account type code
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
AGE-DTE	9(8)		Age date of deal
INSTR-TYP	X		Share type code, E = equity, G = bond
INSTR-ALPHA	X(6)		Share alpha code
INSTR-VERSION	9(3)		Share version number
PS-IND	X		Purchase or sale
SIGN-TRAN-AMT	X	+/-	Sign of note amount
TRAN-AMT	9(15)		Note amount
SIGN-QTY	X	+/-	Sign of quantity of shares
TRAN-QTY	9(11)		Deal line quantity
CON-CHG-IND	X		Indicates lines to be grouped for charges
CON-NTE-IND	X		Indicates lines to be grouped on one note
SIGN-CONSID	X	+/-	Sign of consideration
CONSID	9(15)		Consideration
PRCE	9(9)		Deal line price
DEL-TRAN-CDE	X(2)		Deal transaction code
TRADE-CAP	X		Trade capacity
TRADE-TYP	X(2)		Trade type
RVSD-DEL-ID	9(7)		Deal id of the opposite leg of reversed deal
DEALR-CDE	9(5)		Dealer code
ORD-NUM	X(12)		Order number
SIGN-UT-QTY	X		Sign of Unit Trust Quantity
UT-QTY	9(15)		Unit Trust Quantity
RAND-IND	X(1)		Rand Indicator , either = 'Y' or = ''
TRAN-ORG-USER	X(4)		User Id of the transaction originator
FILLER	X(19)		Spaces

5.12.2 Deals Record 2 - Layout 82

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	82	Card code 82
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
DEL-ID	9(7)		Deal number
DEL-SEQ	9(3)		Deal line sequence number
CHG-STRUCT-ENTRD	X		Indicates charge structure code was entered
CHG-ENTRD	X		Indicates charges were entered manually
CHG-STR-CDE	X(2)		Charge structure code
SIGN-BAS	X	+/-	Sign of basic charge
CHG-BAS	9(15)		Basic charge
SIGN-BRO	X	+/-	Sign of brokerage
CHG-BRO	9(15)		Brokerage charge
SIGN-VAT	X	+/-	Sign of VAT charge
CHG-VAT	9(15)		VAT charge
SIGN-MST	X	+/-	Sign of Marketable Securities Tax
CHG-MST	9(15)		Marketable Securities Tax charge
SIGN-INS	X	+/-	Sign of Investor Protection Levy
CHG-INS	9(15)		Investor Protection Levy charge
SIGN-SET	X	+/-	Sign of Strate cost recovery levy
CHG-SET	9(15)		Strate cost recovery levy
SETTLE-WK	9(4)		Settlement period YYWW
TRMS-1	X(2)		Terms of this line
TRMS-2	X(2)		Terms of this line
TRMS-3	X(2)		Terms of this line
TRMS-4	X(2)		Terms of this line
TRMS-5	X(2)		Terms of this line
TRMS-6	X(2)		Terms of this line
TRMS-7	X(2)		Terms of this line
RVSD-DEL-ID	9(7)		Deal id of the opposite leg of reversed deal
DEALR-CDE	9(5)		Dealer code
ORD-NUM	X(12)		Order number
FILLER	X(7)		Spaces

5.12.3 Deals Record 3 - Layout 83

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	83	Card code 83
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
DEL-ID	9(7)		Deal number
DEL-SEQ	9(3)		Deal line sequence number
REF-ALPHA	X(2)		Alpha reference
REF-TYP	X		Reference type code
REF-PAGE-NO	X(10)		Reference page number
REF-LINE-NO	9(3)		Reference line number
REF-ORD-NO	9(7)		Clients order number (DLDIR, DLEXT)
ORD-NO	X(12)		Order number
DEL-ID-OPTN	9(7)		Deal id of option deal to be exercised
SETTLE-DTE	9(8)		Settlement date
BRK-DIR-IND	X		Indicates broker direct deal
COUNTRY-CDE	X(3)		Country of residence code of account holder
NON-RES-IND	X		Non-resident indicator
EXCH-CTL	X		Exchange control type
PRCE-FORMAT	X		Price format code, 'C' cents, 'P' percent
PRCE-NOM	9(9)		Nominal price
REF-BRK-CDE	9(3)		Refereeing broker code
EXTNL-ACC-CDE	X(17)		External account code
ORDER-DTE	9(9)		Order date
CAPTR-TIME-STMP	9(7)		Order time
MATCH-TIME	9(9)		Matched time
RVSD-DEL-ID	9(7)		Deal id of the opposite leg of reversed deal
DEALR-CDE	9(5)		Dealer code
DEAL-EXTNL-ACC-CDE	X(17)		Deal External Account Code
FILLER	X(9)		Spaces

5.12.4 Deals Record 4 - Layout 84

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	84	Card code 84
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
DEL-ID	9(7)		Deal number
CLEAN-PRCE	9(9)		Clean price - 5 decimal places
NET-PRCE	9(9)		Nett price - 5 decimal places
ALL-IN-PRCE	9(9)		All in price - 5 decimal places
YIELD-TO-M	9(9)		Yield to maturity - 5 decimal places
SIGN-BKGE	X	+/-	Sign of brokerage
BKGE-PCNT-GILT	9(9)		Bond brokerage - 5 decimal places
SIGN-INT-FAC	X	+/-	Sign of interest factor
INT-FACTOR	9(9)		Interest - 5 decimal places
EX-IND	X		Indicates ex interest bond deal
INT-DTE	X(8)		Date from/to which interest is calculated.
NUM-DAY-INT	9(3)		Number of days interest
SIGN-INT-AMT	X	+/-	Sign of interest amount
INT-AMT	9(15)		Interest amount - 2 decimal places
FILLER	X(68)		Spaces

5.12.5 Deals Record 5 - Layout 99

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	'BD'	System BDA
CARD-CDE	9(2)	99	Card code 99
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
DEL-ID	9(7)		Deal ID seq. number
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
AGE-DTE	9(9)		Age date of record
INSTR-TYP	X(1)		Instrument type
INSTR-ALPHA	X(6)		Instrument alpha
INSTR-VERSION	9(3)		Instrument version
SETTLE-DTE	9(9)		Settlement date
PS-IND	X(1)		Purchase/sale indicator
SIGN-TRAN-AMT	X(1)		Sign for deal amount
TRAN-AMT	9(15)		Initial deal amount included
SIGN-QTY	X(1)		Sign for quantity on deal
TRAN-QTY	9(11)		Original quantity on deal
FREED-IND	X(1)		Deal freed indicator
FILLER	X(90)		Spaces

5.13 Instruments

5.13.1 Instrument Record - Layout 92

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	92	Card code 92
BRK-CDE	9(3)		Broker code
INSTR-TYP	X		Share typ code, E = equity, G = bond
INSTR-ALPHA	X(6)		Share alpha code
INSTR-VERSION	9(3)		Share version number
DTE-EFF-FROM	9(8)		Date instrument version started trading
DTE-EFF-TO	9(8)		Date instrument version ceased trading
PRCE	9(9)		Ruling price at close of business
PRCE-NOM	9(9)		Nominal price instrument
GILT-PRCE	9(9)		Clean price - 5 decimal places
GILT-ALLIN-PRCE	9(9)		All in price - 5 decimal places
INSTR-RPT-NAME	X(24)		Instrument report name
INSTR-SHRT-NAME	X(14)		Instrument short name
ICB SECTOR-CDE	X(4)		Spaces
PRCE-FORMAT	X(1)		Price format, C=Cents, P=percent
COUPON-RATE	9(7)		Rate of interest (bonds) - 3 decimal places
YIELD-TO-M	9(9)		Yield to maturity - 5 decimal places
ELEC-TRADE-DTE	9(8)		Electronic trade date
BOARD-IND	X(1)		Board Field (ALTX Board: A, DCM Board: D, JSE Overall: J, NAM Overall: N, VCM Board: V)
BEE-IND	X(1)		Bee Indicator, either ='Y' or = ''
MST % FACTOR	9(7)		MST % factor, 5 decimals e.g. 12, 12345 = 1212345
EQUITY-DATA-TYPE	X(2)		Equity Data type
ISIN	X(12)		ISIN of the Instrument
CHG-STR-CDE	X(2)		Charge Structure Code of the Instrument
ICB SECTOR-CDE	X(8)		New ICB Sector code of instrument
FILLER	X (4)		Spaces

5.14 Bank Records

5.14.1 Multiple Bank Accounts Record - Layout 69

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	'BD'	System BDA
CARD-CDE	9(2)	'69'	Card code 69
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account Code
BAL-CDE	X(2)		Balance Code
BANK-BRN-NO	9(6)		Bank Branch Number
BANK-ACC-NO	X(16)		Bank Account Number
BANK-DESCRIP	X(20)		Bank Description
BANK-ACC-TYP	X		Bank Account Type
PREFERRED-ACC	X		Preferred Account Indicator
VERIFY-STA	X		Verified Status
VERIFY-DTE	9(8)		Verified Date
VERIFY-TME	9(7)		Verified Time
VERIFY-USER	X(4)		Verified by user
DTE-DEACTIVATED	9(8)		Date deactivated
TME-DEACTIVATED	9(7)		Time deactivated
USER-DEACTIVATED	X(4)		Deactivated by user
LAS-UPD-DTE	9(8)		Last update date
LAS-UPD-TME	9(7)		Last update time
LAS-UPD-USER	X(4)		Last updated by user
LAS-UPD-SOURCE	X(8)		Last update source
PAYEE-NAME	X(35)		Payee Name
FILLER	X(12)		Filler

5.15 Equity Entitlement Information

NOTE: Corporate Action information provided as part of the BDA dissemination files are only related to the information required to process Corporate Actions in BDA and does not necessarily reflect all Corporate Action Events.

5.15.1 Dividend Record - Layout 93

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	93	Card code 93
BRK-CDE	9(3)		Broker Code
INSTR-TYP	X		Share type code, E = equity, G = bond
INSTR-ALPHA	X(6)		Share alpha code
INSTR-VERSION	9(3)		Share version number
LDR-DTE	9(8)		Last day to register for dividend
DIV-SEQ-NO	9		Dividend sequence number
DIV-NO	9(5)		Dividend number ex company
DIV-TYP	X		Dividend type
DTE-DECLARED	9(8)		Date dividend was declared
EX-DIV-DTE	9(8)		Ex-dividend date
PAY-DTE	9(8)		Dividend pay date
DIV-RATE	9(11)		Dividend rate - 6 decimal places
DIV-FORMAT	X		Format of dividend - C = cents, P = percent
DIV-BONUS	9(11)		Dividend bonus - 6 decimal places
RATE-CONF	X		Rate confirmed - 'Y' or 'N'.
NRST-PCNT	9(9)		Non-resident tax - 6 decimal places
ISSUE-RAT-OLD	9(13)		Old ratio - 7 decimal places
ISSUE-RAT-NEW	9(13)		New ratio - 7 decimal places
INSTR-TYP-REP	X(1)		New share type
INSTR-ALPHA-REP	X(6)		New share alpha code
INSTR-VERS-REP	9(3)		New share version
PROCS-TYP	X(2)		Process type
PROCS-SEQ	X(3)		Process sequence
WITHHOLDING-TAX%	9(9)		Withholding tax percentage – 7 decimal places
STC RATE	9(11)		STC rate – 6 decimal places
FOREIGN TAX RATE%	9(11)		Foreign tax rate percentage – 6 decimal places
SA RESIDENT TAX REBATE%	9(11)		SA resident tax rebate % – 6 decimal places
DIVIDEND IN SPECIE	X		Dividend in specie indicator – 'Y' or 'N'

5.15.2 Entitlements Record - Layout 94

NOTE: Corporate Action information provided as part of the BDA dissemination files are only related to the information required to process Corporate Actions in BDA and does not necessarily reflect all Corporate Action Events.

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	94	Card code 94
BRK-CDE	9(3)		Broker Code
INSTR-TYP	X		Share type code, E = equity, G = bond
INSTR-ALPHA	X(6)		Share alpha code
INSTR-VERSION	9(3)		Share version number
RTS-CONV-DTE	9(8)		Date entitlement takes place
LINK-SEQ-NO	9		Link sequence number (complex)
INSTR-TYP-REP	X		New share type code, E = equity, G
INSTR-ALPHA-REP	X(6)		New share alpha code
INSTR-VERS-REP	9(3)		New share version number
RTS-CONV-CDE	X(2)		Entitlement conversion code
ISSUE-RAT-OLD	9(13)		Ratio of old shares - 7 decimal places
ISSUE-RAT-NEW	9(13)		Ratio of new shares - 7 decimal places
RTS-TU-PRCE	9(13)		Take up price - 6 decimal places
RTS-PAY-QTY	9(6)		Minimum number of new shares
RTS-PO-PRCE	9(13)		Pay out price - 6 decimal places
RTS-LINK-CDE	X		Link code for complex cases
NRST-PCNT	9(9)		Non-resident tax percentage
WITHHOLDING-TAX%	9(9)		Withholding tax percentage – 7 decimal places
STC RATE	9(11)		STC rate – 6 decimal places
FOREIGN TAX RATE%	9(11)		Foreign tax rate percentage – 6 decimal places
SA RESIDENT TAX REBATE%	9(11)		SA resident tax rebate % – 6 decimal places
DIVIDEND IN SPECIE	X		Dividend in specie indicator – ‘Y’ or ‘N’.
FILLER	X (24)		Space.

5.15.3 Electronically Settled Corporate Actions Record - Layout 74

NOTE: Corporate Action information provided as part of the BDA dissemination files are only related to the information required to process Corporate Actions in BDA and does not necessarily reflect all Corporate Action Events.

FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	74	CARD CODE 74
BRK-CDE	9(3)		Broker Code
LDT	9(8)		Last Day to Trade for Dividend
INSTR-TYP	X		Share type code
INSTR-ALPHA	X(6)		Share alpha code
INSTR-VERSION	9(3)		Share version number
PROCS-TYP	X(2)		Entitlement process type
PROCS-SEQ	9(3)		Entitlement process sequence number
RD	9(8)		Record Date
ELECTION-DTE	9(8)		Election-Date
PAY-DTE	9(8)		Dividend Pay Date
EX-DIV-DTE	9(8)		Ex-Dividend Date
DIV-NO	9(5)		Dividend Sequence Number
DIV-TYP	X(3)		Dividend Number ex Company
DIV-RATE	9(11)		Dividend rate (6 decimal places)
DIV-BONUS	9(11)		Dividend bonus - 6 decimal
RATE-CONF	X		Rate confirmed - 'Y' or 'N'
INSTR-TYP-REP	X		New share type code
INSTR-ALPHA-REP	X(6)		New share alpha code
INSTR-VERS-REP	9(3)		New share version number
ISSUE-RAT-OLD	9(13)		Ratio of old shares
ISSUE-RAT-NEW	9(13)		Ratio of new shares
PAY-OUT-PRCE	9(13)		Pay out price
TAKE-UP-PRC	9(13)		Take up price
FILLER	X(18)		Spaces

5.15.4 Electronically Settled Corporate Actions Tax Information Record - Layout 67

NOTE: Corporate Action information provided as part of the BDA dissemination files are only related to the information required to process Corporate Actions in BDA and does not necessarily reflect all Corporate Action Events.

FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	67	CARD CODE 67
BRK-CDE	9(3)		Broker Code
LDT	9(8)		Last Day to Trade for Dividend
INSTR-TYP	X		Share type code
INSTR-ALPHA	X(6)		Share alpha code
INSTR-VERSION	9(3)		Share version number
PROCS-TYP	X(2)		Entitlement process type
PROCS-SEQ	9(3)		Entitlement process sequence number
WITHHOLDING-TAX%	9(9)		Withholding tax percentage – 7 decimal places
STC RATE	9(11)		STC rate – 6 decimal places
FOREIGN TAX RATE%	9(11)		Foreign tax rate percentage – 6 decimal places
SA RESIDENT TAX REBATE%	9(11)		SA resident tax rebate % – 6 decimal places
DIVIDEND IN SPECIE	X		Dividend in specie indicator – ‘Y’ or ‘N’.
FILLER	X(100)		Spaces.

5.15.5 Account Tax Exemption Details - Layout 68

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	68	Card code 68
BRK-CDE	9(3)		Broker Code
ACC-CDE	9(7)		Account Code
TAX EXEMPTION CODE	X		Tax exemption code
FROM DATE	9(8)		From date
TO DATE	9(8)		To date
DEACT DATE	9(8)		Deactivation date
REIT EXEMPT CODE	X(1)		REIT Exemption code
WTI EXEMPT CODE	X(1)		WTI Exemption code
FILLER	X(134)		Spaces

5.15.6 Account Tax Identification Type Codes - Layout 62

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	62	Card code 62
BRK-CDE	9(3)		Broker Code
ACC-CDE	9(7)		Account Code
TAX ID TYPE CODE	X(3)		Tax Identification type code
TAX ID CODE DESCRIPTION	X(30)		Tax Identification type code description
PASS THRU	X(1)		Pass through indicator
FROM DATE	9(8)		From date
TO DATE	9(8)		To date
DEACT DATE	9(8)		Deactivation date
FILLER	X(101)		Spaces

5.15.7 ENTDU Details - Layout 73

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	73	Card code 73
BRK-CDE	9(3)		Broker Code
ACC-CDE	9(7)		Account Code
SHORT-NAME	X(20)		Short Name
NON-RES	X		Non-resident indicator
PAY-INSTR-DTE	X(9)		Pay instruction date
ACC-TYP	X(2)		Account type
BRN-CDE	X(2)		Branch Code
PARTNER	X(2)		Partner Code
PROCS-TYP	X(2)		Process Type
MTHR-TYP	X		Mother Share Type
MTHR-ALPHA	X(6)		Mother Share Alpha
MTHR-VERSION	9(3)		Mother Share Version Number
OLD-QTY	9(13)		Old Share Qty
REPL-TYP	X		Replacement Share Type
REPL-ALPHA	X(6)		Replacement Share Alpha
REPL-VERSION	9(3)		Replacement Share Version Number
SHR -DUE-SIGN	X		Sign for new share qty due
SHR-DUE	9(13)		New Share Qty Due
LDT	9(9)		Last date to trade
RECORD-DTE	9(9)		Record Date
LAST-UPD-DTE	9(9)		Last updated date
DTA %	9(9)		DTA % - 7 decimal places
FILLER	X(38)		Spaces

5.16 Securities Borrowing and Lending and Collateral

5.16.1 SLB records – Layout 60

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	60	Card code 78
BRK-CDE	9(3)		Broker code
LEND-ACC	9(7)		Lender account code
DEAL-ID	9(7)		Deal Id
BORW-ACC	9(7)		Borrower account code
INSTR-TYP	X(1)		Instrument Type
INSTR-ALPHA	X(6)		Instrument Alpha
INSTR-VERSION	9(3)		Instrument Version
LOAN-QTY	X(11)		Loan quantity
LOAN-RATE	9(5)		Loan rate
LOAN-COLL	9(15)		Loan collateral
COLL-TYPE	9(1)		Collateral type
PROV-BAL-CDE	9(2)		Provider balance code
PROV-INT-CDE	X(2)		Provider interest code
PROV-TRN-CDE	X(2)		Provider turn code
BRK-BAL-CDE	X(2)		Broker balance code
BRK-INT-CDE	X(2)		Broker interest code
BRK-TRN-CDE	X(2)		Broker turn code
BORW-RATE	9(5)		Borrow rate
BORW-COLL	9(15)		Borrow collateral
RECV-DTE	9(9)		Receive date
RETN-DTE	9(9)		Return date
RECV-STAT	X(1)		Receive status
RETN-STAT	X(1)		Return status
TRADE-DTE	9(8)		Trade Date
FILLER	X(40)		SPACES

5.16.2 Collateral Records – Layout 61

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	61	Card code 61
BRK-CDE	9(3)		Broker code
PROV-ACC	9(7)		Provider account
DEAL-ID	9(7)		Deal Id
RECV-ACC	9(7)		Receiver account
INSTR-TYP	X(1)		Instrument type
INSTR-ALPHA	X(6)		Instrument alpha
INSTR-VERSION	9(3)		Instrument version
COLL-QTY	9(11)		Collateral quantity
RECV-DTE	9(9)		Receive date
RETN-DTE	9(9)		Return date
RECV-STAT	X(1)		Receive status
RETN-STAT	X(1)		Return status
TRADE-DTE	9(8)		Trade Date
FILLER	X(95)		SPACES

5.17 Portfolio and Holdings

5.17.1 Portfolio / All Holdings Record - Layout 96

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
SYSTEM	X(2)	BD	System BDA
CARD-CDE	9(2)	96	Card code 96
BRK-CDE	9(3)		Broker code
ACC-CDE	9(7)		Account code
INSTR-TYP	X		Share type code, E = equity, G = bond
INSTR-ALPHA	X(6)		Share alpha code
INSTR-VERSION	9(3)		Share version number
ICB SECTOR-CDE	X(4)		Spaces
SIGN-HLDG-QTY	X		Sign of shareholding quantity
SH-HLDG-QTY	9(13)		Shareholding quantity not at home
SIGN-QTY-AH	X		Sign of shareholding quantity at home
QTY-AH	9(13)		Shareholding quantity at home
SIGN-COST-OTH	X		Sign of cost of scrip not at home
COST-PF-OTH	9(15)		Cost of scrip not at home - 2 decimal places
SIGN-COST-AH	X		Sign of cost of scrip at home
COST-PF-AH	9(15)		Cost of scrip at home - 2 decimal places
SIGN-QTY-HLDG	X		Sign of unit trust quantity holding
UT-QTY-HLDG	9(15)		foreign unit trust quantity holding – 5 decimal places
SIGN-DEMAT-QTY	X		Sign of demat quantity holding
DEMAT-HLDG-QTY	9(13)		Dematerialised quantity at CSD
SIGN-UT-QTY	X		Sign of unit trust quantity (Deals)
UT-QTY	9(15)		Unit trust quantity (Deals)
SIGN-CL-QTY	X		Sign of collateral quantity
CL-QTY	9(13)		Collateral quantity
BOARD-IND	X		Board Field (ALTX Board: A, DCM Board: D, JSE Overall: J, NAM Overall: N, VCM Board: V)
SIGN-PL-QTY	X	+/-	Sign (+/-) of the Pledge Quantity
PL-QTY	9(13)		Pledge quantity indicated by CP
ICB SECTOR-CDE	X(8)		New ICB sector code
FILLER	X(2)		Spaces

6 ELECTIVE EVENTS DOWNLOAD

6.1 Download of Elective Events Frozen File

The new upload function will allow members to load new instructions and change instructions already submitted. This new upload facility will not cater for members to delete an existing election instruction or where members may want to add a new position onto the frozen files. Where members want to delete or add, they will have to update these directly on the frozen files via the existing B5ACICS online system.

In order to assist members with the automation of clients elections, a new dissemination file containing all the information as per the frozen files in B5ACICS, will be created. Then, using the data off the download file, members can create an upload file with all the relevant client elections to be processed on B5ACICS. Using the download file is optional as members may have different ways to automate their client instructions.

6.1.1 Setup of Email addresses

For both the Upload and Download files a once off set up, unless an email has changed, of email addresses is required. Response to each request, download or upload would be posted to these addresses. It should be noted that the positive as well as the negative responses would be posted.

Members can load the relevant e-mail address or multiple e-mail addresses to which the responses must be e-mailed to via the function T.EML against the relevant Process Type. A maximum of 999 e-mail addresses can be set up.

The following Process Type is required for responses to be received via email.

Download	→ ELECDN
Upload	→ ELECUP

Each new e-mail address would require a new sequence number (i.e. SEQ of 001, the suffix of ELECDN, displayed below).

Example of Download:

```

OPTN: T.EML          BCS/A: GENERAL TABLE MAINTENANCE          9JAN13  11:09:29
ACTN:                                     AAA    A99
TABLE: E-MAIL ADDRESS          START BROWSING FROM:
                                INCL  DEACTIVATED   :  N

F BRK PROCS /SEQ DESCRIPTION
_  01 ELEC DN001  XXXX1@COMPANY_EMAIL1.CO.ZA
_  01 ELEC DN002  XXXX2@COMPANY_EMAIL2.CO.ZA
_
  
```

Example of Upload

```

OPTN: T.EML          BCS/A: GENERAL TABLE MAINTENANCE          9JAN13  11:09:29
ACTN:                                     AAA    A99
TABLE: E-MAIL ADDRESS          START BROWSING FROM:
                                INCL  DEACTIVATED   :  N

F BRK PROCS /SEQ DESCRIPTION
_  01 ELEC UP001  XXXX1@COMPANY_EMAIL1.CO.ZA
_  01 ELEC UP002  XXXX2@COMPANY_EMAIL2.CO.ZA
_
  
```

6.1.2 Access to the dataset

Members can use their existing sign-ons currently used for existing uploads (E.g. FINONL or ALLOC) or downloads (for daily dissemination downloads) to FTP the new datasets from and to the mainframe.

If no sign-ons exist, a new one should be requested.

Access should be given to the following datasets:

- For the Download
 - a) read access for the dataset BBAP.SPRD.DOWNLOAD.XXX.ELEC, the 'XXX' depicting the relevant 2 or 3 character broker alpha code,

- For the Upload
 - a) update access for the dataset BBAP.SPRD.UPLOAD.XXX.ELEC, the 'XXX' depicting the relevant 2 or 3 character broker alpha code
 - b) read access for the dataset BBAP.SPRD.UPLOAD.XXX.ELEC.SYYYYYYY, the 'XXX' depicting the relevant 2 or 3 character broker alpha code. The 'S' is the prefix of the 7 byte sequence number as passed on the header record.

6.1.3 Facility to Download a Frozen File via RPROC on BDA

Members will be able to download details in the frozen file for all elective events real-time or batch. This file can be used as a basis for the election upload file. This new dissemination file will be a separate download file from the normal BDA Dissemination downloads process as members will be able to request and retrieve the downloaded files during the online day or overnight.

Members will be able to request for the frozen file positions from LDT + 1 up until EOD LDR, if necessary. The first download requested will download all the client accounts, Loan and Collateral positions. Thereafter if any further downloads are requested, then only the amended positions will be downloaded.

The proposed solution is that members will download the frozen file from BDA, update their election option codes and once they have completed their elections, send an upload file back to the JSE which will then update the frozen positions on B5ACICS with the relevant client election instructions.

6.1.4 Download via RPROC

A Member will be able to request an Election download on BDA via RPROC by selecting Process Code – ELECDN – CA Election Download. It is critical to ensure that when requesting a download file for the frozen positions, frozen positions for the correct corporate action event is requested.

```

OPTN: RPROC          BCS/A:  BROWSE PROCESS REQUESTS          03JAN13 09:29:22
ACTN:                                     AAA      A81
  BROKER CODE : 0001  START BROWSING FROM PROCESS CODE :
    PROCESS REQUEST                                     FREQUENCY
FUNC  CODE      NUMBER  NAME                                     CDE  DAY  MONTH
-    EBDTRE          TMS DEAL INFO EXTRACT FOR DB2          -    -
-    ECHCSH          TRF ECH SURPLUS FUT.AMT TO CSH          -    -
-    ECHDLY          DAILY DELIVERY ITEMS FROM ECH          -    -
-    ECHEXT          EXTRACT OF ECH RECON BALANCES          -    -
-    ECHSPL          CREATE ECH DL/REC DEALS                -    -
-    ELECDN          CA ELECTION DOWNLOAD                    -    -
-    ENTBAK          BACKUP ENT DISSEMINATION FILES          -    -
-    ENTEQU          CRTE SEQ ENT FILE EQUITIES            -    -
-    ENTGLT          CREATE ENT SEQ FILE GILTS              -    -
-    EQAVDI          POPULATE DEAL ID ON AVG SUM            -    -
-    EQU DIR          CALCULATES AVERAGE PRICES              -    -
-    EQU EDT          EDIT EQUITY INPUT                       -    -
-    EQU SPL          SPLIT EQUITY DEALS                     -    -
-    ERDSEQ          WRITES REMOTE INFO TO SEQ FILE          -    -
-    ETCNOT          CREATE ETC CONTRACT NOTE MSG           -    -
-    ETRLMF          EXTRACT FOR REPORT PTRLMF              -    -
PF1/13 HELP PF2/14 RETURN PF4/16 MAIN MENU PF7/19 PREV PF8/20 NXT PF12/24 QUIT
  
```

Users can then type in 'N' in the FUNC field to request a new download file. Once the user has typed in 'N', the request with the relevant parameters will be displayed as below.

```

OPTN: RPROC          BCS/A:  UPDATE PROCESS REQUEST      03JAN13 09:35:2
ACTN:                                     AAA      A81
PROCESS           :  ELECDN   BROKER ELECTION DOWNLOAD   REQUEST:  001
RUN FREQUENCY    :  _        RUN DAY:  _    QUARTER/HALFYEAR START MONTH:  _
ONLINE / BATCH   :  ONLINE
REQUEST PROCESSING PARAMETERS
  NAME            VALUE
INSTRUMENT ALPHA _____
INSTRUMENT VERSION _____
PROCESS TYPE      _____
PROCESS SEQ       _____

REQUEST OUTPUT DESTINATION(s): LOCAL  _____  _____  _____  _____
                                COPIES :    01    _____  _____  _____  _____
                                FORM   :  STAD  _____  _____  _____  _____
PF1/13 HELP  PF2/14 RETURN  PF4/16 MAIN MENU  PF5 PRINTERS  PF12/24 QUIT
  
```

The following fields are mandatory to be completed by the member:

- RUN FREQUENCY - the run frequency of '*', for adhoc run
- INSTRUMENT ALPHA
- INSTRUMENT VERSION
- PROCESS TYPE
- PROCESS SEQ

The correct PROCESS TYPE and PROCESS SEQ information is available on the B5ACICS on-line screen BRHDR – Broker Header Maintenance.

To ensure users are notified once the file is available for members to download, an email response will be sent to the members. See point 5.3 on further information regarding update of email address for the ELECDN. This would be a once-off set up of e-mail addresses for any downloads requested.

The downloaded records will reside on the mainframe on the dataset BBAP.SPRD.DOWNLOAD.XXX.ELEC, the 'XXX' depicting the relevant 2 or 3 character broker alpha code. This Dataset can be fetched from the mainframe by the brokers as is currently done for their BDA dissemination files. The download file to be retrieved will be the same name for all the events requested. **Due to the fact that requests can be done online and would be serviced immediately, as opposed to waiting overnight, multiple requests would need to be done individually i.e. once a request has been submitted, the file would need to be downloaded by the members and thereafter the next request can be submitted for the next file to be populated which can be downloaded by the member.**

6.2 Elective Events Frozen File Card Codes

6.2.1 Header Record – Card Code 000

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD CODE	9(3)	000	
BRK-CDE	9(3)		Brokers Numeric Code
DATE	9(8)		Upload Date
TIME	9(6)		Upload Time
FILLER	X(10)		Spaces
TOTAL LENGTH	30		

Field Details

Field Name	Field Description	CTL	NCTL	Data Type	Data Length	Data Validation	Logic Validation
		(M/O/C O/S)	(M/O/C O/S)				
CARD CODE	Card Code Number	M	M	NUMERIC	9(3)	000	
BRK-CDE	Broker Code	M	M	NUMERIC	9(3)	Validate against BROKM	Must be a valid, active Broker
DATE	Upload Date	M	M	NUMERIC	9(8)	CCYYMMDD	
TIME	Upload Time	M	M	NUMERIC	9(6)	HHMMSS	
FILLER	Filler	M	M	CHARACTER	X(10)	Spaces	

6.2.2 Event Detail Record – Card Code 071

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD CDE	9(3)	071	
BRK CDE	9(3)		Broker Numeric Code
PROCESS-TYPE	X(2)		Process Type
INSTR-TYP	X		Instrument Type
INSTR-ALPHA	X(6)		Instrument Alpha
INSTR-VERSION	X(3)		Instrument Version
LDR-DTE	9(8)		Last Day to Register Date
PROC-SEQ	9(3)		Process Sequence
FILLER	X(71)		Spaces
TOTAL LENGTH	100		

Field Details

Field Name	Mandatory/ Optional	Data Type	Data Length	Values
CARD CDE	M	NUMERIC	9(3)	071
BRK-CDE	M	NUMERIC	9(3)	Numeric BRK-CDE
PROCS TYPE	M	CHARACTER	X(2)	Process type of event. 'TU','OL','SC','CD'
INSTRUMENT TYPE	M	CHARACTER	X	Instrument type of the share – should be 'E' for equity
ALPHA	M	CHARACTER	X(6)	Instruments Alpha Code
VERS	M	CHARACTER	X(3)	Instruments Version
RD/LDR	M	NUMERIC	9(8)	Record Date
PROCS-SEQ	M	NUMERIC	9(3)	Process sequence
FILLER	O	CHARACTER	X(71)	Spaces

6.2.3 Account Detail Record – Card Code 072

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD CDE	9(3)	072	Dissemination Card Code 072
BRK CDE	9(3)		Broker Numeric Code
SECTION	X		Section (e.g. B, G, H)
OPTN-CDE	X(2)		CA Option Code
ACC-CDE	9(7)		Account Code
ORIG-SIGN	X		Sign (-/+ of Original Quantity)
ORIG-QTY	9(13)		Original Quantity
ELECTION-SIGN	X		Election Sign (-/+ of Election Sign)
ELECTION-QTY	9(13)		Election Quantity
SCRIP-TY	X(2)		Scrip Type
REG-CDE	9(2)		Registration Code
LOCN-ALPHA	X(2)		Location Code
DEL-ID	9(7)		Deal ID
PS-IND	X		Purchase or Sale Indicator
LENDER-ACC	9(7)		Lender's Account Number
BORROWER-ACC	9(7)		Borrower's Account Number
PROVIDER-ACC	9(7)		Collateral Provider's Account Number
RECEIVER-ACC	9(7)		Collateral Receiver's Account Number
FILLER	X(14)		Spaces
TOTAL LENGTH	100		

Field Details

Field Name	Mandatory/Optional	Data Type	Data Length	Values
CARD CDE	M	NUMERIC	9(3)	072
BRK-CDE	M	NUMERIC	9(3)	Numeric BRK-CDE
SECTION	M	CHARACTER	X	Section 'B' or 'G' or 'H' being passed
OPTN-CDE	O	CHARACTER	X(2)	Option code of event Only filled if election has taken place
ACC-CDE	M	NUMERIC	9(7)	Account code. Note: will also be filled if SLB data being passed with the Lender or Provide a/c number
ORIG-SIGN	M	CHARACTER	X	Sign of the Original Quantity '-' if negative ORIG-QTY ,

				'+' if positive ORIG-QTY, ' ' if zero ORIG-QTY
ORIG-QTY	M	NUMERIC	9(13)	Total holding of account Note: each record type (i.e. open deals or open demat holdings) will have its own ORIG-QTY as would be displayed as separate records
ELECTION-SIGN	M	CHARACTER	X	Sign of the Election Quantity '-' if negative ELECTION-QTY , '+' if positive ELECTION-QTY, ' ' if zero ELECTION-QTY
ELECTION-QTY	O	NUMERIC	9(13)	Only filled if election has taken place
SCRIP-TYP	O	CHARACTER	X(2)	Only filled if demat holdings
REG-CDE	O	NUMERIC	9(2)	REG-CDE for account For deals REG-CDE = 00 For Demat Holdings REG-CDE > 01 will be passed For account code 0 REG-CDE > 01 will be passed
LOCN-ALPHA	O	CHARACTER	X(2)	Location of account
DEL-ID	O	NUMERIC	9(7)	Deal ID of BUY or SELL or SLB
PS-IND	O	CHARACTER	X	'P' = Purchase. 'S' = Sale
LENDER-ACC	O	NUMERIC	9(7)	Lender account from Section G Mandatory if Borrower account passed
BORROWER-ACC	O	NUMERIC	9(7)	Borrower account from Section G Mandatory if Lender account passed
PROVIDER-ACC	O	NUMERIC	9(7)	Provider account from Section G Mandatory if Receiver account passed
RECEIVER-ACC	O	NUMERIC	9(7)	Provider account from Section G Mandatory if Provider account passed
FILLER	O	CHARACTER	X(14)	Spaces

M = Mandatory **O**=Optional

Note 1: Client positions, SLB and Collateral will be disseminated in the download i.e. Section B, G and H.

Note 2: Only the confirmed Loans for SLB and Collateral will be disseminated.

6.2.4 Trailer Record – Card Code 999

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD CODE	9(3)	999	Trailer Card Code 999
BRK-CDE	9(3)		Broker Numeric Code
DATE	9(8)		Process Date
TIME	9(6)		Process Time
TOTAL RECORDS	9(9)		Number of Records
RECORDS PROCESSED	9(9)		Number of Records Processed
RECORDS REJECTED	9(9)		Number of Records Rejected
FILLER	X(3)		Spaces
TOTAL LENGTH	50		

Field Details

Field Name	Mandatory/Optional	Data Type	Data Length	Values
CARD CODE	M	NUMERIC	9(3)	999
BRK-CDE	M	NUMERIC	9(3)	
DATE	M	NUMERIC	9(8)	Process Date CCYYMMDD
TIME	M	NUMERIC	9(6)	Process Time HHMMSS
TOTAL RECORDS	M	NUMERIC	9(9)	Total number of records(excluding any header and trailer records)
RECORDS PROCESSED	M	NUMERIC	9(9)	Total number of successfully processed records. Would be the same as total records for the download
RECORDS REJECTED	M	NUMERIC	9(9)	Total number of rejected records. Would be 0 in this case for the download
FILLER	M	CHARACTER	X(3)	Spaces

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