DD - BDA BROKER
DISSEMINATION
SPECIFICATION

March 2017
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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

<table>
<thead>
<tr>
<th>Version</th>
<th>Updated By</th>
<th>Date</th>
<th>Reason for changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>V1.12</td>
<td>Barbara Teasdale</td>
<td>21 October 2013</td>
<td>Incorporated Account Upload Card Codes, Elective Event Downloads and Uploads</td>
</tr>
<tr>
<td>V 1.13</td>
<td>Julian Amorim</td>
<td></td>
<td>Inclusion of Prime Broking fields</td>
</tr>
<tr>
<td>V1.15</td>
<td>Barbara Teasdale</td>
<td>27 August 2014</td>
<td>Amendment to Card Code 98 Filler length</td>
</tr>
<tr>
<td>V1.16</td>
<td>Barbara Teasdale</td>
<td>13 January 2015</td>
<td>Updates and New Card Codes from the FATCA enhancements</td>
</tr>
<tr>
<td>V1.17</td>
<td>Julian Amorim</td>
<td>27 March 2015</td>
<td>Dissemination FATCA changes on RPROC</td>
</tr>
<tr>
<td>V1.18</td>
<td>Chris Beilings</td>
<td>21 April 2015</td>
<td>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</td>
</tr>
<tr>
<td>V1.19</td>
<td>Julian Amorim</td>
<td>30 October 2015</td>
<td>Freed indicator on card code 99</td>
</tr>
<tr>
<td>V1.20</td>
<td>Chris Beilings</td>
<td>14 December 2015</td>
<td>Designation code added to card code 76 for GL accounts</td>
</tr>
<tr>
<td>V1.21</td>
<td>Barbara Teasdale</td>
<td>5 February 2016</td>
<td>Updated with the following fields: BD48 – DTE-DEACTIVATED, BD80 – DIVIDEND ADVICE NOTES indicator, BD81 – TRANSACTION ORIGIN USER, BD 88 – REASON CODE (Account Transfers &amp; Portfolio Moves) and TIME STAMP, BD89 – REF NUMBER (Account Transfers &amp; Portfolio Moves) and TIME STAMP, BD92 – ISIN and CHARGE STRUCTURE CODE and the BEE Instrument/Account Enhancements</td>
</tr>
<tr>
<td>V1.22</td>
<td>Chris Beilings</td>
<td>15 February 2016</td>
<td>Addition of Trade Date field to card codes 60 and 61</td>
</tr>
<tr>
<td>V1.23</td>
<td>Barbara Teasdale</td>
<td>8 February 2017</td>
<td>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</td>
</tr>
<tr>
<td>V1.24</td>
<td>Barbara Teasdale</td>
<td>16 March 2017</td>
<td>Portfolio Cost from Account Transfers and Portfolio Moves added to Dissem CC 89</td>
</tr>
<tr>
<td>V1.25</td>
<td>Sihle Gumede</td>
<td>13 December 2017</td>
<td>Updated with the following fields: BD68 – RET EXEMPT Code and WTI EXEMPT Code</td>
</tr>
<tr>
<td>V1.25</td>
<td>Chris Grove</td>
<td>28 August 2018</td>
<td>Updated FUPD – Updated parameter setting from Y to N.</td>
</tr>
</tbody>
</table>
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 Broker’s 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**

See detail below:

**PF IND**

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/NZ/1/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

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
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
'Y' or 'N' - record layout 93
business days loaded by the listings department
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
<table>
<thead>
<tr>
<th>PFV/HLD/UP/ENT/SL/CO</th>
<th>Portfolio holdings Portfolio clients only</th>
<th>'Y' or 'N' - record layout 96</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Portfolio holdings all clients</td>
<td>'Y' or 'N' - record layout 96</td>
</tr>
<tr>
<td></td>
<td>Download updated portfolio records only</td>
<td>'Y' or 'N' - record layout 96</td>
</tr>
<tr>
<td></td>
<td>Download ENTDU records</td>
<td>'Y' or 'N' - record layout 73</td>
</tr>
<tr>
<td></td>
<td>SLB records</td>
<td>'Y' or 'N' - record layout 60</td>
</tr>
<tr>
<td></td>
<td>Collateral records</td>
<td>'Y' or 'N' - record layout 61</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>BE/AL/EX/TX/ID/TU/IU</th>
<th>Download Active BEE Records (will include all records in respect of card code 79)</th>
<th>'Y' or 'N' - record layout 79</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>All BEE Records (will include all records in respect of card code 79)</td>
<td>'Y' or 'N' - record layout 79</td>
</tr>
<tr>
<td></td>
<td>Expired BEE Records (will include all records in respect of card code 79)</td>
<td>'Y' or 'N' - record layout 79</td>
</tr>
<tr>
<td></td>
<td>Download All Tax Exemption Info</td>
<td>'Y' or 'N' - record layout 68</td>
</tr>
<tr>
<td></td>
<td>Download All Tax ID Information</td>
<td>'Y' or 'N' - record layout 62</td>
</tr>
<tr>
<td></td>
<td>Download Updated Tax Exemption Info</td>
<td>'Y' or 'N' - record layout 68</td>
</tr>
<tr>
<td></td>
<td>Download Updated Tax ID Information</td>
<td>'Y' or 'N' - record layout 62</td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>BDA FIELD NAME</th>
<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>DATE</td>
<td>X(10)</td>
<td>CCYY/MM/DD</td>
<td>Machine date</td>
</tr>
<tr>
<td>FILLER</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TIME</td>
<td>X(8)</td>
<td>HH:MM:SS</td>
<td>Machine time</td>
</tr>
<tr>
<td>FILLER</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>BAT-DTE</td>
<td>9(8)</td>
<td>YEARMMDD</td>
<td>Batch run date</td>
</tr>
<tr>
<td>FILLER</td>
<td>X(147)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4.2.2 Trailer Record

The last record on the file to be downloaded 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.

<table>
<thead>
<tr>
<th>BDA FIELD NAME</th>
<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>DATE</td>
<td>X(10)</td>
<td>CCYY/MM/DD</td>
<td>Machine date</td>
</tr>
<tr>
<td>FILLER</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TIME</td>
<td>X(8)</td>
<td>HH:MM:SS</td>
<td>Machine time</td>
</tr>
<tr>
<td>FILLER</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NARRATIVE</td>
<td>X(20)</td>
<td>'NUMBER OF RECORDS = '</td>
<td></td>
</tr>
<tr>
<td>RECORDS</td>
<td>9(9)</td>
<td>NUMBER OF DETAIL RECORDS ON FILE</td>
<td></td>
</tr>
<tr>
<td>FILLER</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>BAT-DTE</td>
<td>9(8)</td>
<td>YEARMMDD</td>
<td>Batch run date</td>
</tr>
<tr>
<td>FILLER</td>
<td>X(117)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5 CARD CODE LAYOUTS

5.1 Account Details

5.1.1 Account Details Record 1 - Layout 80

<table>
<thead>
<tr>
<th>BDA FIELD NAME</th>
<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>80</td>
<td>Card code 80</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>ACC-TYP-CDE</td>
<td>X(2)</td>
<td></td>
<td>Account type code</td>
</tr>
<tr>
<td>BRN-CDE</td>
<td>X(2)</td>
<td></td>
<td>Branch code</td>
</tr>
<tr>
<td>PARTNER-CDE</td>
<td>X(2)</td>
<td></td>
<td>Partner code</td>
</tr>
<tr>
<td>PF-IND</td>
<td>X</td>
<td></td>
<td>Portfolio indicator - 'Y' or 'N'</td>
</tr>
<tr>
<td>PF-MAN-CHG-CDE</td>
<td>9(2)</td>
<td></td>
<td>Portfolio management charge code</td>
</tr>
<tr>
<td>ADVR-CDE</td>
<td>X(4)</td>
<td></td>
<td>Portfolio advisor code</td>
</tr>
<tr>
<td>CLI-TITLE</td>
<td>X(10)</td>
<td></td>
<td>Clients title</td>
</tr>
<tr>
<td>INITIALS</td>
<td>X(4)</td>
<td></td>
<td>Clients initials</td>
</tr>
<tr>
<td>Surname</td>
<td>X(40)</td>
<td></td>
<td>Clients surname</td>
</tr>
<tr>
<td>EXTNL-ACC-IND</td>
<td>X</td>
<td></td>
<td>External account indicator</td>
</tr>
<tr>
<td>EXTNL-ACC-CDE</td>
<td>X(17)</td>
<td></td>
<td>External account code</td>
</tr>
<tr>
<td>MAN-CDE</td>
<td>X(3)</td>
<td></td>
<td>Managed code</td>
</tr>
<tr>
<td>SET-TYP-CDE</td>
<td>X</td>
<td></td>
<td>Settlement type code</td>
</tr>
<tr>
<td>NON-RES-IND</td>
<td>X</td>
<td></td>
<td>Non-resident indicator</td>
</tr>
<tr>
<td>COUNTRY-CDE</td>
<td>X(3)</td>
<td></td>
<td>Country of residence code</td>
</tr>
<tr>
<td>INV-TYPE</td>
<td>X(3)</td>
<td></td>
<td>Investment type code</td>
</tr>
<tr>
<td>DTE-DEACTIVATED</td>
<td>9(8)</td>
<td></td>
<td>Date deactivated</td>
</tr>
<tr>
<td>SEX</td>
<td>X</td>
<td></td>
<td>Male Female or Blank</td>
</tr>
<tr>
<td>ID-NO</td>
<td>X(13)</td>
<td></td>
<td>Alternate ID No</td>
</tr>
<tr>
<td>LANG-CDE</td>
<td>X</td>
<td></td>
<td>Language code</td>
</tr>
<tr>
<td>PRIN-AG-IND</td>
<td>X</td>
<td></td>
<td>Trading capacity indicator</td>
</tr>
<tr>
<td>CLI-IND</td>
<td>X(7)</td>
<td></td>
<td>Client indicator</td>
</tr>
<tr>
<td>CLI-CAT</td>
<td>X(2)</td>
<td></td>
<td>Client category</td>
</tr>
<tr>
<td>SCRIP-ACC-NO</td>
<td>X(12)</td>
<td></td>
<td>Scrip account number</td>
</tr>
<tr>
<td>EL-PAY-MAN-DTE</td>
<td>9(8)</td>
<td></td>
<td>Electronic payment mandate date</td>
</tr>
<tr>
<td>MIN-NTE-IND</td>
<td>X(1)</td>
<td></td>
<td>Minimised note indicator</td>
</tr>
<tr>
<td>ELECTION-IND</td>
<td>X(1)</td>
<td></td>
<td>Election indicator</td>
</tr>
<tr>
<td>ELEC-RPT-IND</td>
<td>X(1)</td>
<td></td>
<td>Electronic report indicator</td>
</tr>
<tr>
<td>SLB-RATE</td>
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<td>Scrip lending and borrowing rate</td>
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### 5.1.2 Account Details Record 2 - Layout 85

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<td></td>
<td>Account code</td>
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<td>Address line 2</td>
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<td>TEL-NO-2</td>
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<td>DATE FAX INDEMNITY RECEIVED</td>
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<td>Date Member indemnified against fax errors</td>
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5.1.3  Account Details Record 3 - Layout 86

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<td>ACC-CDE</td>
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<td>ADR-LINE-4</td>
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<td>Communication by Issuer</td>
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<td>System BDA</td>
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<td>Account code</td>
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<tr>
<td>MAND-CHG-DTE</td>
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<td>Institution code</td>
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<td>LAS-UPD-DTE</td>
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<td></td>
<td>Machine date of last update</td>
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<td>Account ID code</td>
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<td>Name of person who referred client</td>
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### 5.1.5 Account Details Record 5 - Layout 78

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<td>ACC-CDE</td>
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<td>Account code</td>
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<td>Scrip allocation sequence code</td>
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<td>Power of attorney held</td>
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<td>Prime account code</td>
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<td>PRIME-BRK-VER-DTE</td>
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### 5.1.6 Account Details Record 6 - Layout 79

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</tr>
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<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
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<tr>
<td>PROC-ĐTE</td>
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<td>Y(yes) or space</td>
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<td>BEE expiry date</td>
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<td>Postal Address 'Care of' Address indicator (Y/N)</td>
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<td></td>
<td>C = Credit Interest Only,</td>
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<tr>
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<td></td>
<td></td>
<td>D = Debit Interest Only</td>
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<tr>
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<td></td>
<td></td>
<td>N = neither interest type to be processed</td>
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<td>B = both types to be processed</td>
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<td>Name of person who holds Power of Attorney</td>
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<td>SOURCE OF INCOME</td>
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<td>Client primary source of income</td>
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<td>Y/N - Margins call/refunds processed to the client (not active)</td>
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<td>Y/N – Retail Client Indicator</td>
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### 5.1.7 Account Details Record 7 - Layout 98

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<tr>
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<td>Broker code</td>
</tr>
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<td>ACC-CDE</td>
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<td>Account code</td>
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<td>Bank code</td>
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<td>Bank BIC code</td>
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<td>Bank verification date</td>
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<tr>
<td>CSH-AGT-CDE</td>
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<td>CSA Bank account number</td>
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<td>Bank BIC code</td>
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<td>CSH-AGT-BP-ID</td>
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<td>Business partner ID</td>
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<td>CSH bank verification date</td>
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<td>Client account BIC code</td>
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5.2 Account Address Maintenance

5.2.1 Account Address Maintenance Details Record 1 - Layout 50

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</tr>
<tr>
<td>ACC-CDE</td>
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<td></td>
<td>Account code</td>
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<td>Same as Postal Address Indicator</td>
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<td>Physical Address C/O Indicator</td>
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<td>Physical Address Complex Name</td>
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<td>Physical Address Street Number</td>
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<td>Physical Address Street Name/Name of Farm</td>
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<td>PHYS-SUBURB/DISTRICT</td>
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<td>Physical Address Suburb or District Name</td>
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<td></td>
<td>Physical Address City or Town Name</td>
</tr>
<tr>
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### 5.2.2 Account Address Maintenance Details Record 2 - Layout 51

<table>
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<tr>
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<tr>
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<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
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<tr>
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<tr>
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<td></td>
<td>Physical Address Country Code</td>
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<td></td>
<td>Country Code of Fax Number 2</td>
</tr>
<tr>
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<td>X(10)</td>
<td></td>
<td>Fax Number 2</td>
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<td>TEL#3-CNTRY</td>
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<td>Country Code of Telephone Number 3</td>
</tr>
<tr>
<td>TEL#3</td>
<td>X(10)</td>
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<td>Telephone Number 3</td>
</tr>
<tr>
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<td>X(3)</td>
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<td>Country Code of Telephone Number 4</td>
</tr>
<tr>
<td>TEL#4</td>
<td>X(10)</td>
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<td>Telephone Number 4</td>
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<tr>
<td>E-MAIL#2</td>
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<td>Additional E-mail Address 2</td>
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<td>E-mail address 2 use description</td>
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## 5.2.3 Account Address Maintenance Details Record 3 - Layout 52

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<td>System BDA</td>
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<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>E-MAIL#3</td>
<td>X(55)</td>
<td></td>
<td>Additional E-mail Address 3</td>
</tr>
<tr>
<td>E-MAIL Descriptor 3</td>
<td>X(26)</td>
<td></td>
<td>E-mail address 3 use description</td>
</tr>
<tr>
<td>E-MAIL#4</td>
<td>X(55)</td>
<td></td>
<td>Additional E-mail Address 4</td>
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### 5.2.4 Account Address Maintenance Details Record 4 - Layout 53

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<td>System BDA</td>
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<td>Card code 53</td>
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<tr>
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<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>E-MAIL Descriptor 4</td>
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<td>E-mail address 4 use description</td>
</tr>
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<td>Additional cell phone number1</td>
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<td>Cell Descriptor 1</td>
<td>X(26)</td>
<td></td>
<td>Cell Phone 1 use description</td>
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<td>X(10)</td>
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<td>Additional cell phone number2</td>
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<tr>
<td>Cell Descriptor 2</td>
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<td></td>
<td>Cell Phone 1 use description</td>
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<td>CELL 3</td>
<td>X(10)</td>
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<td>Additional cell phone number3</td>
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<td>Cell Descriptor 3</td>
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<td>Cell Phone 1 use description</td>
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### 5.2.5 Account Address Maintenance Details Record 5 - Layout 58

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<tr>
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<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
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<td>CARD-CDE</td>
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<td>Card code 58</td>
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<td>BRK-CDE</td>
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<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>TRADING ADDRESS Line 1</td>
<td>X(40)</td>
<td></td>
<td>Trading Address line 1</td>
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<tr>
<td>Line 2</td>
<td>X(40)</td>
<td></td>
<td>Trading Address line 2</td>
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<tr>
<td>Line 3</td>
<td>X(40)</td>
<td></td>
<td>Trading Address line 3</td>
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<tr>
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## 5.2.6 Account Address Maintenance Details Record 6 - Layout 59

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<tr>
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<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>59</td>
<td>Card code 59</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>Line 4</td>
<td>X(40)</td>
<td></td>
<td>Trading Address line 4</td>
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<tr>
<td>POSTAL CODE</td>
<td>X(10)</td>
<td></td>
<td>Trading Address Postal Code</td>
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<td>X(109)</td>
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## 5.3 Legal and Tax Maintenance

### 5.3.1 Legal and Tax Maintenance Details Record 1 - Layout 54

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</thead>
<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>54</td>
<td>Card code 54</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>ID TYPE</td>
<td>9(3)</td>
<td></td>
<td>Code identifying type of ID</td>
</tr>
<tr>
<td>ID</td>
<td>X(30)</td>
<td></td>
<td>ID no or Passport No or CO REG No or Trust No</td>
</tr>
<tr>
<td>CTRY-OF-ISSUE/INC</td>
<td>X(3)</td>
<td></td>
<td>Country that issue ID, REG NO, TRUST NO etc.</td>
</tr>
<tr>
<td>DTE-OF-ISSUE/INC</td>
<td>9(8)</td>
<td></td>
<td>Date ID was Issued, Date of Incorporation etc.</td>
</tr>
<tr>
<td>PP-EXPIRY-DTE</td>
<td>9(8)</td>
<td></td>
<td>Date Passport expires</td>
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<tr>
<td>DTE-OF-BIRTH</td>
<td>9(8)</td>
<td></td>
<td>If an individual, clients date of birth</td>
</tr>
<tr>
<td>CTRY-OF-BIRTH</td>
<td>X(3)</td>
<td></td>
<td>If an individual, clients country of birth</td>
</tr>
<tr>
<td>PLACE-OF-BIRTH</td>
<td>X(33)</td>
<td></td>
<td>If an individual, clients place of birth</td>
</tr>
<tr>
<td>CTRY-OF-RES-FOR-DWT</td>
<td>X(3)</td>
<td></td>
<td>Country of Residence for DWT</td>
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<tr>
<td>DWT-EXEMP-FORM-REC</td>
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<td></td>
<td>DWT Exemption Ind. Y/N</td>
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<td>IT3B-EXCL</td>
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<td></td>
<td>Y/N indicator - Y excludes client from IT3B run</td>
</tr>
<tr>
<td>IT3C-EXCL</td>
<td>X(1)</td>
<td></td>
<td>Y/N indicator - Y excludes client from IT3C run</td>
</tr>
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<td>DWT FORM-A-OR-B</td>
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<td></td>
<td>DWT Tax Directive form</td>
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<td>DTA-FORM-REC</td>
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<td>Country Code for DTA received</td>
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<td>X(1)</td>
<td></td>
<td>Dividend pass through indicator</td>
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<td>X(50)</td>
<td></td>
<td>Reason for no Tax number provided by client</td>
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<tr>
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### 5.3.2 Legal and Tax Maintenance Details Record 2 - Layout 55

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<th>DESCRIPTION</th>
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<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
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<td>55</td>
<td>Card code 55</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
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<td></td>
<td>Indicates whether foreign tax reporting is required</td>
</tr>
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<td>Account Holder Type as per BDA table</td>
</tr>
<tr>
<td>ACC STATUS</td>
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<td></td>
<td>Account Status as per BDA table</td>
</tr>
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<td>Legal Entity mapped to SARS's Nature of Person</td>
</tr>
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<td>FI GIIN</td>
<td>X(19)</td>
<td></td>
<td>Financial Institutions GIIN if registered</td>
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<td></td>
<td>Country code of 1&lt;sup&gt;st&lt;/sup&gt; indicia recorded</td>
</tr>
<tr>
<td>INDICIA2</td>
<td>X(3)</td>
<td></td>
<td>Country code of 2&lt;sup&gt;nd&lt;/sup&gt; indicia recorded</td>
</tr>
<tr>
<td>INDICIA3</td>
<td>X(3)</td>
<td></td>
<td>Country code of 3&lt;sup&gt;rd&lt;/sup&gt; indicia recorded</td>
</tr>
<tr>
<td>INDICIA4</td>
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<td></td>
<td>Country code of 4&lt;sup&gt;th&lt;/sup&gt; indicia recorded</td>
</tr>
<tr>
<td>INDICIA5</td>
<td>X(3)</td>
<td></td>
<td>Country code of 5&lt;sup&gt;th&lt;/sup&gt; indicia recorded</td>
</tr>
<tr>
<td>TAX-RES1</td>
<td>X(3)</td>
<td></td>
<td>Country of 1&lt;sup&gt;st&lt;/sup&gt; tax residency</td>
</tr>
<tr>
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<td>Country of 2&lt;sup&gt;nd&lt;/sup&gt; tax residency</td>
</tr>
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<td></td>
<td>Country of 3&lt;sup&gt;rd&lt;/sup&gt; tax residency</td>
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<td></td>
<td>Country of 4&lt;sup&gt;th&lt;/sup&gt; tax residency</td>
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<td>X(3)</td>
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<td>Country of 5&lt;sup&gt;th&lt;/sup&gt; tax residency</td>
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<td>2&lt;sup&gt;nd&lt;/sup&gt; Nationality</td>
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<td>3&lt;sup&gt;rd&lt;/sup&gt; Nationality</td>
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<td>4&lt;sup&gt;th&lt;/sup&gt; Nationality</td>
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<td></td>
<td>5&lt;sup&gt;th&lt;/sup&gt; Nationality</td>
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### 5.3.3 Legal and Tax Maintenance Details Record 3 - Layout 56

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<tr>
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<td>System BDA</td>
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<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>TIN1</td>
<td>X(20)</td>
<td></td>
<td>1(^{st}) Foreign Tax Identification Number</td>
</tr>
<tr>
<td>TIN2</td>
<td>X(20)</td>
<td></td>
<td>2(^{nd}) Foreign Tax Identification Number</td>
</tr>
<tr>
<td>TIN3</td>
<td>X(20)</td>
<td></td>
<td>3(^{rd}) Foreign Tax Identification Number</td>
</tr>
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<td>TIN4</td>
<td>X(20)</td>
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<td>4(^{th}) Foreign Tax Identification Number</td>
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<td>X(20)</td>
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<td>5(^{th}) Foreign Tax Identification Number</td>
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</tr>
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<td>X(3)</td>
<td></td>
<td>Country of Jurisdiction of 2(^{nd}) TIN</td>
</tr>
<tr>
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<td>X(3)</td>
<td></td>
<td>Country of Jurisdiction of 3(^{rd}) TIN</td>
</tr>
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</tr>
<tr>
<td>JUR5</td>
<td>X(3)</td>
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### 5.3.4 Legal and Tax Maintenance Details Record 4 - Layout 57

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<td>System BDA</td>
</tr>
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<td>Card code 57</td>
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<td>Broker code</td>
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<tr>
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<td>9(7)</td>
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<td>Account code</td>
</tr>
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<td>SIC-CDE</td>
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<td>Standard Industrial Classification Code</td>
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<td>FICA compliance Indicator</td>
</tr>
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<td></td>
<td>Date of FICA Compliance</td>
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<td></td>
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<td>H = HIGH, M = MEDIUM or L = LOW</td>
</tr>
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<td></td>
<td>Y/N indicator – politically exposed person</td>
</tr>
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<td>CPA MARKETING MATERIAL</td>
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<td></td>
<td>Y/N indicator - CPA marketing material</td>
</tr>
<tr>
<td>CPA MATERIAL DISTRIBUTION</td>
<td>X(1)</td>
<td></td>
<td>P - Post or E for E-mail</td>
</tr>
<tr>
<td>INDIVIDUALS - PREVIOUSLY</td>
<td>X(1)</td>
<td></td>
<td>Y/N indicator - client</td>
</tr>
<tr>
<td>DISADVANTAGED</td>
<td></td>
<td></td>
<td>of previously disadvantaged race</td>
</tr>
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<td></td>
<td>Annual Turnover or</td>
</tr>
<tr>
<td>OR ASSET VALUE</td>
<td></td>
<td></td>
<td>Asset Value of a company</td>
</tr>
<tr>
<td>TRUSTS - NO OF TRUSTEES</td>
<td>9(4)</td>
<td></td>
<td>Number of Trustees</td>
</tr>
<tr>
<td>JURISTIC TRUSTEE</td>
<td>X(1)</td>
<td></td>
<td>Y/N - is any trustee a juristic person</td>
</tr>
<tr>
<td>BND-NAME</td>
<td>X(70)</td>
<td></td>
<td>Clean Name for BND Dissemination</td>
</tr>
<tr>
<td>RE-VER-DTE</td>
<td>9(8)</td>
<td></td>
<td>Date Account was re-verified</td>
</tr>
<tr>
<td>FILLER</td>
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</tr>
</tbody>
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5.4 Supplementary Names and Addresses

5.4.1 Supplementary Names and Address Details Record 1 – Layout 44

<table>
<thead>
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<th>BDA FIELD NAME</th>
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<th>VALUE</th>
<th>DESCRIPTION</th>
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<tbody>
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<td>System BDA</td>
</tr>
<tr>
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<td>44</td>
<td>Card code 44</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>ACC-TYP-CDE</td>
<td>X(2)</td>
<td></td>
<td>Account type code</td>
</tr>
<tr>
<td>BRN-CDE</td>
<td>X(2)</td>
<td></td>
<td>Branch code</td>
</tr>
<tr>
<td>PARTNER-CDE</td>
<td>X(2)</td>
<td></td>
<td>Partner code</td>
</tr>
<tr>
<td>FIRST-NAMES</td>
<td>X(40)</td>
<td></td>
<td>Account holders first names</td>
</tr>
<tr>
<td>C/O-ADD-IND</td>
<td>X(1)</td>
<td></td>
<td>'Care of' Address indicator (Y/N)</td>
</tr>
<tr>
<td>TITLE</td>
<td>X(10)</td>
<td></td>
<td>Clients title</td>
</tr>
<tr>
<td>INITIALS</td>
<td>X(4)</td>
<td></td>
<td>Clients initials</td>
</tr>
<tr>
<td>NAME</td>
<td>X(40)</td>
<td></td>
<td>Clients surname</td>
</tr>
<tr>
<td>SA RESIDENT</td>
<td>X(1)</td>
<td></td>
<td>Y/N indicator</td>
</tr>
<tr>
<td>ADR-LINE-1</td>
<td>X(40)</td>
<td></td>
<td>Address line 1</td>
</tr>
<tr>
<td>POSTAL-CDE</td>
<td>X(4)</td>
<td></td>
<td>Postal code</td>
</tr>
<tr>
<td>COUNTRY-CDE</td>
<td>X(3)</td>
<td></td>
<td>Country of residence code</td>
</tr>
<tr>
<td>FGN-POST-CDE</td>
<td>X(10)</td>
<td></td>
<td>Foreign Address Postal Code</td>
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### 5.4.2 Supplementary Names and Address Details Record 2 – Layout 45

<table>
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<tr>
<td>SYSTEM</td>
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<td>BD</td>
<td>System BDA</td>
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<td>CARD-CDE</td>
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<td>45</td>
<td>Card code 45</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>ADR-LINE-2</td>
<td>X(40)</td>
<td></td>
<td>Address line 2</td>
</tr>
<tr>
<td>ADR-LINE-3</td>
<td>X(40)</td>
<td></td>
<td>Address line 3</td>
</tr>
<tr>
<td>ADR-LINE-4</td>
<td>X(40)</td>
<td></td>
<td>Address line 4</td>
</tr>
<tr>
<td>TEL-NO-1</td>
<td>X(15)</td>
<td></td>
<td>Telephone number 1</td>
</tr>
<tr>
<td>TEL-NO-2</td>
<td>X(15)</td>
<td></td>
<td>Telephone number 2</td>
</tr>
<tr>
<td>FILLER</td>
<td>X(9)</td>
<td></td>
<td>Spaces</td>
</tr>
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</table>
### 5.4.3 Supplementary Names and Address Details Record 3 – Layout 46

<table>
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<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>46</td>
<td>Card code 46</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>TELEFAX</td>
<td>X(15)</td>
<td></td>
<td>Telefax number</td>
</tr>
<tr>
<td>EMAIL-ADDR</td>
<td>X(55)</td>
<td></td>
<td>E-mail address</td>
</tr>
<tr>
<td>ALPHA-CDE</td>
<td>X(20)</td>
<td></td>
<td>Alpha or shortened account name</td>
</tr>
<tr>
<td>INSTIT-TYP</td>
<td>X(3)</td>
<td></td>
<td>Institution Code</td>
</tr>
<tr>
<td>LANG-CDE</td>
<td>X(1)</td>
<td></td>
<td>Language Code (E, A)</td>
</tr>
<tr>
<td>SCR-DISP-CDE</td>
<td>X(2)</td>
<td></td>
<td>Scrip Disposal Code</td>
</tr>
<tr>
<td>ETC-FUND-CDE</td>
<td>X(3)</td>
<td></td>
<td>Electronic Trade Confirmation Fund Code</td>
</tr>
<tr>
<td>ETC-FUND-BIC</td>
<td>X(11)</td>
<td></td>
<td>Electronic Trade Confirmation Fund BIC</td>
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<tr>
<td>FILLER</td>
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<td>Spaces</td>
</tr>
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</table>
### 5.4.4 Supplementary Names and Address Details Record 4 – Layout 47

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

#### 5.5.1 Account Relationships – Layout 48

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

### 5.6.1  BEE Instrument/Account - Layout 70

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<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
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</thead>
<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>‘BD’</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>70</td>
<td>Card Code 70</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker Code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Clients Account Code</td>
</tr>
<tr>
<td>INSTR-TYP</td>
<td>X(1)</td>
<td></td>
<td>Instrument Type</td>
</tr>
<tr>
<td>INSTR-ALPHA</td>
<td>X(6)</td>
<td></td>
<td>Instrument Alpha</td>
</tr>
<tr>
<td>INSTR-VERSION</td>
<td>9(3)</td>
<td></td>
<td>Instrument Version Number</td>
</tr>
<tr>
<td>DTE-EFF-FROM</td>
<td>9(8)</td>
<td></td>
<td>Accounts Effective From Date</td>
</tr>
<tr>
<td>DTE-EFF-TO</td>
<td>9(8)</td>
<td></td>
<td>Accounts Effective To Date</td>
</tr>
<tr>
<td>DTE-DEACTIVATED</td>
<td>9(8)</td>
<td></td>
<td>Date Record Deactivated</td>
</tr>
<tr>
<td>FILLER</td>
<td>X(125)</td>
<td></td>
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5.7  Balance Details

5.7.1  Balances Record 1 - Layout 90

<table>
<thead>
<tr>
<th>BDA FIELD NAME</th>
<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
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<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>90</td>
<td>Card code 90</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>BAL-CDE</td>
<td>X(2)</td>
<td>+/-</td>
<td>Balance code</td>
</tr>
<tr>
<td>KOU-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of cash balance</td>
</tr>
<tr>
<td>KOU-CASH-BAL</td>
<td>9(15)</td>
<td></td>
<td>Cash balance</td>
</tr>
<tr>
<td>KOU-JSET-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of JSE trustees balance</td>
</tr>
<tr>
<td>KOU-JSET-BAL</td>
<td>9(15)</td>
<td></td>
<td>JSE Trustees balance</td>
</tr>
<tr>
<td>FILLER</td>
<td>X(125)</td>
<td></td>
<td>Spaces</td>
</tr>
</tbody>
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### 5.7.2 Balances Record 2 - Layout 91

<table>
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<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>91</td>
<td>Card code 91</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>K06-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of cash balance</td>
</tr>
<tr>
<td>K06-CASH-BAL</td>
<td>9(15)</td>
<td></td>
<td>Cash balance</td>
</tr>
<tr>
<td>K06-JSET-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of JSE trustees balance</td>
</tr>
<tr>
<td>K06-JSET-BAL</td>
<td>9(15)</td>
<td></td>
<td>JSE Trustees balance</td>
</tr>
<tr>
<td>K06-CS-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of current sales balance</td>
</tr>
<tr>
<td>K06-CUR-SAL</td>
<td>9(15)</td>
<td></td>
<td>Current sales balance</td>
</tr>
<tr>
<td>K06-CP-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of current purchases balance</td>
</tr>
<tr>
<td>K06-CUR-PUR</td>
<td>X(15)</td>
<td></td>
<td>Current purchases balance</td>
</tr>
<tr>
<td>K06-FS-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of future sales balance</td>
</tr>
<tr>
<td>K06-FUT-SAL</td>
<td>9(15)</td>
<td></td>
<td>Future sales balance</td>
</tr>
<tr>
<td>K06-FP-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of future purchases balance</td>
</tr>
<tr>
<td>K06-FUT-PUR</td>
<td>9(15)</td>
<td></td>
<td>Future purchases balance</td>
</tr>
<tr>
<td>K06-FR-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of free deals balance</td>
</tr>
<tr>
<td>K06-FREE-BAL</td>
<td>9(15)</td>
<td></td>
<td>Free deals balance</td>
</tr>
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<td>FILLER</td>
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### Portfolio Balances Record - Layout 95

<table>
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<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
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<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
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<td>Card code 95</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>INSTR-TYP</td>
<td>X</td>
<td></td>
<td>Share type code, E = equity, G = bond</td>
</tr>
<tr>
<td>ICB SECTOR-CDE</td>
<td>X(4)</td>
<td></td>
<td>ICB sector code</td>
</tr>
<tr>
<td>COST-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of position cost</td>
</tr>
<tr>
<td>POSN-COST</td>
<td>9(15)</td>
<td></td>
<td>Cost of position</td>
</tr>
<tr>
<td>VAL-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of current market value</td>
</tr>
<tr>
<td>POSN-VAL</td>
<td>9(15)</td>
<td></td>
<td>Current market value of position</td>
</tr>
<tr>
<td>INC-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of income</td>
</tr>
<tr>
<td>POSN-INC</td>
<td>9(15)</td>
<td></td>
<td>Income from position</td>
</tr>
<tr>
<td>VAL-CLNP-SIGN</td>
<td>X</td>
<td>+/-</td>
<td>Sign of clean price value</td>
</tr>
<tr>
<td>POSN-VAL-CLNP</td>
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<td></td>
<td>Clean price value</td>
</tr>
<tr>
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<td>Investment Type</td>
</tr>
<tr>
<td>BOARD-IND</td>
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<td></td>
<td>Board Field (ALTX Board: A, DCM Board: D, JSE Overall: J, NAM Overall: N, VCM Board: V)</td>
</tr>
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<td>FILLER</td>
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<td>Spaces</td>
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### 5.7.4 GL Balances Record - Layout 75

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

5.8.1 Financial Transaction Records - Layout 87

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

#### 5.9.1 Scrip Transaction Record 1 - Layout 88

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

**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:

<table>
<thead>
<tr>
<th>BDA FIELD NAME</th>
<th>LENGTH</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>Card code 88</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td>Account code</td>
</tr>
<tr>
<td>INSTR-TYP</td>
<td>X</td>
<td>Share type code, E = equity, G = bond</td>
</tr>
<tr>
<td>INSTR-ALPHA</td>
<td>X(6)</td>
<td>Share alpha code</td>
</tr>
<tr>
<td>INSTR-VERSION</td>
<td>9(3)</td>
<td>Share version number</td>
</tr>
<tr>
<td>SCR-TYP</td>
<td>X(2)</td>
<td>Scrip type, eg C = certificate.</td>
</tr>
<tr>
<td>CERT-NO</td>
<td>X(9)</td>
<td>Certificate number</td>
</tr>
<tr>
<td>DEED-NO</td>
<td>X(9)</td>
<td>Transfer deed number</td>
</tr>
<tr>
<td>SCR-SEQ-NO</td>
<td>9(3)</td>
<td>Scrip receipt number</td>
</tr>
<tr>
<td>SCR-REC-ORG</td>
<td>X(2)</td>
<td>Scrip record origin</td>
</tr>
<tr>
<td>DTE-RCVD</td>
<td>9(8)</td>
<td>Date scrip was received</td>
</tr>
<tr>
<td>LOCN-ALPHA</td>
<td>X(2)</td>
<td>Location alpha code after transaction</td>
</tr>
<tr>
<td>LOCN-BRN</td>
<td>X(2)</td>
<td>Branch code of scrip after transaction.</td>
</tr>
<tr>
<td>SIGN-QTY</td>
<td>X</td>
<td>+/-</td>
</tr>
<tr>
<td>TRAN-QTY</td>
<td>9(11)</td>
<td></td>
</tr>
<tr>
<td>SIGN-AMT</td>
<td>X</td>
<td>+/-</td>
</tr>
<tr>
<td>TRAN-AMT</td>
<td>9(15)</td>
<td></td>
</tr>
<tr>
<td>AGE-DTE</td>
<td>9(8)</td>
<td></td>
</tr>
<tr>
<td>LOCN-ALPHA2</td>
<td>X(2)</td>
<td></td>
</tr>
<tr>
<td>LOCN-BRN2</td>
<td>X(2)</td>
<td></td>
</tr>
<tr>
<td>LOCN-DUE</td>
<td>X(2)</td>
<td></td>
</tr>
<tr>
<td>SCR-TRAN-CDE</td>
<td>X(2)</td>
<td></td>
</tr>
<tr>
<td>REG-CDE</td>
<td>9(2)</td>
<td></td>
</tr>
<tr>
<td>DEL-ID</td>
<td>9(7)</td>
<td></td>
</tr>
<tr>
<td>REASON</td>
<td>X(40)</td>
<td></td>
</tr>
<tr>
<td>TRAN-ORG-TIME</td>
<td>9(6)</td>
<td></td>
</tr>
<tr>
<td>FILLER</td>
<td>X(4)</td>
<td></td>
</tr>
</tbody>
</table>
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

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

|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
### 5.10 GL Records

#### 5.10.1 GL Transaction Record - Layout 76

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

### 5.11 Cash Transactions

#### 5.11.1 Cash Transaction Record - Layout 97

<table>
<thead>
<tr>
<th>BDA FIELD NAME</th>
<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>97</td>
<td>Card code 97</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>BAL-CDE</td>
<td>X(2)</td>
<td></td>
<td>Balance code</td>
</tr>
<tr>
<td>DESIG-CDE</td>
<td>X(2)</td>
<td></td>
<td>Designation code</td>
</tr>
<tr>
<td>SIGN-AMT</td>
<td>X</td>
<td>+/-</td>
<td>Sign of transaction amount</td>
</tr>
<tr>
<td>TRAN-AMT</td>
<td>9(15)</td>
<td></td>
<td>Transaction amount</td>
</tr>
<tr>
<td>TRAN-NARATV</td>
<td>X(40)</td>
<td></td>
<td>Transaction narrative</td>
</tr>
<tr>
<td>FIN-TRAN-CDE</td>
<td>X(2)</td>
<td></td>
<td>Transaction code</td>
</tr>
<tr>
<td>DOC-REF-NO</td>
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<tr>
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<td>EXCH-CTL</td>
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<td>Exchange control code</td>
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<td>GENRL-ANALS</td>
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<td>General analysis code</td>
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### 5.12 Daily Deals

#### 5.12.1 Deals Record 1 - Layout 81

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<td>Card code 81</td>
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<td>ACC-CDE</td>
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<td></td>
<td>Account code</td>
</tr>
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<td>DEL-ID</td>
<td>9(7)</td>
<td></td>
<td>Deal number</td>
</tr>
<tr>
<td>DEL-SEQ</td>
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<td>Deal line sequence number</td>
</tr>
<tr>
<td>ACC-TYP-CDE</td>
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</tr>
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<td>Branch code</td>
</tr>
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<td>PARTNER-CDE</td>
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<td>Partner code</td>
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<td>Age date of deal</td>
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<td>Share type code, E = equity, G = bond</td>
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<td></td>
<td>Note amount</td>
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<td>+/-</td>
<td>Sign of quantity of shares</td>
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<td>Trade type</td>
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<td>Deal id of the opposite leg of reversed deal</td>
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<td>Rand Indicator, either = ‘Y’ or = ‘’</td>
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### 5.12.2 Deals Record 2 - Layout 82

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<td>System BDA</td>
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<td>BRK-CDE</td>
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<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>DEL-ID</td>
<td>9(7)</td>
<td></td>
<td>Deal number</td>
</tr>
<tr>
<td>DEL-SEQ</td>
<td>9(3)</td>
<td></td>
<td>Deal line sequence number</td>
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<tr>
<td>CHG-STRCT-ENTRD</td>
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<td>Indicates charge structure code was entered</td>
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<td>CHG-ENTRD</td>
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<td></td>
<td>Indicates charges were entered manually</td>
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<td>CHG-BAS</td>
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<td>Basic charge</td>
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<td>SIGN-BRO</td>
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<td>+/-</td>
<td>Sign of brokerage</td>
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<td>VAT charge</td>
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<td>+/-</td>
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<td>X(2)</td>
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<td>Terms of this line</td>
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</tr>
<tr>
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<td></td>
<td>Dealer code</td>
</tr>
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<td>ORD-NUM</td>
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### 5.12.3 Deals Record 3 - Layout 83

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<td>ACC-CDE</td>
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<td>Account code</td>
</tr>
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<td>9(7)</td>
<td></td>
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</tr>
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<td>REF-LINE-NO</td>
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<td>Clients order number (DLDIR, DLEXT)</td>
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<td>Order number</td>
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<td>Deal id of option deal to be exercised</td>
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<td>Indicates broker direct deal</td>
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<td>PRCE-FORMAT</td>
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<td>Dealer code</td>
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<td>Deal External Account Code</td>
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### 5.12.4 Deals Record 4 - Layout 84

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<td>ACC-CDE</td>
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<td>Account code</td>
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<td>Deal number</td>
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<td>NET-PRCE</td>
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<td>Net price - 5 decimal places</td>
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<td>All in price - 5 decimal places</td>
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<td>Yield to maturity - 5 decimal places</td>
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<td>Sign of brokerage</td>
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<td>Bond brokerage - 5 decimal places</td>
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<td>Date from/to which interest is calculated.</td>
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<td>Interest amount - 2 decimal places</td>
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### 5.12.5 Deals Record 5 - Layout 99

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<td>Broker code</td>
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<td></td>
<td>Account code</td>
</tr>
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<td>DEL-ID</td>
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<td>Deal ID seq. number</td>
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<td>BRN-CDE</td>
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<td>Branch code</td>
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<td>PARTNER-CDE</td>
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<td>Partner code</td>
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<td>Instrument version</td>
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<td>SETTLE-DTE</td>
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<td></td>
<td>Settlement date</td>
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<td>PS-IND</td>
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<td>Purchase/sale indicator</td>
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<td>Sign for deal amount</td>
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<td>Original quantity on deal</td>
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<td>Deal freed indicator</td>
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5.13 Instruments

5.13.1 Instrument Record - Layout 92

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<td>Broker code</td>
</tr>
<tr>
<td>INSTR-TYP</td>
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<td>Share typ code, E = equity, G = bond</td>
</tr>
<tr>
<td>INSTR-ALPHA</td>
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<td></td>
<td>Share alpha code</td>
</tr>
<tr>
<td>INSTR-VERSION</td>
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<td></td>
<td>Share version number</td>
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<tr>
<td>DTE-EFF-FROM</td>
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<td></td>
<td>Date instrument version started trading</td>
</tr>
<tr>
<td>DTE-EFF-TO</td>
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<td></td>
<td>Date instrument version ceased trading</td>
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<tr>
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<td>9(9)</td>
<td></td>
<td>Ruling price at close of business</td>
</tr>
<tr>
<td>PRCE-NOM</td>
<td>9(9)</td>
<td></td>
<td>Nominal price instrument</td>
</tr>
<tr>
<td>GILT-PRCE</td>
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<td></td>
<td>Clean price - 5 decimal places</td>
</tr>
<tr>
<td>GILT-ALLIN-PRCE</td>
<td>9(9)</td>
<td></td>
<td>All in price - 5 decimal places</td>
</tr>
<tr>
<td>INSTR-RPT-NAME</td>
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<td>Instrument report name</td>
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<td>INSTR-SHRT-NAME</td>
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<td></td>
<td>ICB Sector code of instrument</td>
</tr>
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<td>PRCE-FORMAT</td>
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<td>Price format, C=Cents, P=percent</td>
</tr>
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<td>COUPON-RATE</td>
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<td></td>
<td>Rate of interest (bonds) - 3 decimal places</td>
</tr>
<tr>
<td>YIELD-TO-M</td>
<td>9(9)</td>
<td></td>
<td>Yield to maturity - 5 decimal places</td>
</tr>
<tr>
<td>ELEC-TRADE-DTE</td>
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<td></td>
<td>Electronic trade date</td>
</tr>
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<td>BOARD-IND</td>
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<td></td>
<td>Board Field (ALTX Board: A, DCM Board: D, JSE Overall: J, NAM Overall: N, VCM Board: V)</td>
</tr>
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<td></td>
<td>Bee Indicator, either =’Y’ or = ‘’</td>
</tr>
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<td>MST % FACTOR</td>
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<td></td>
<td>MST % factor, 5 decimals e.g. 12, 12345 = 1212345</td>
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<td>EQUITY-DATA-TYPE</td>
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<td>ISIN of the Instrument</td>
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<td>CHG-STR-CDE</td>
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<td></td>
<td>Charge Structure Code of the Instrument</td>
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## 5.14 Bank Records

### 5.14.1 Multiple Bank Accounts Record - Layout 69

<table>
<thead>
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<th>VALUE</th>
<th>DESCRIPTION</th>
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<td>SYSTEM</td>
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<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
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<td>‘69’</td>
<td>Card code 69</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account Code</td>
</tr>
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<td>BAL-CDE</td>
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<td>Balance Code</td>
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<td>Bank Branch Number</td>
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<tr>
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<td></td>
<td>Bank Account Number</td>
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<td>X(20)</td>
<td></td>
<td>Bank Description</td>
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<td>BANK-ACC-TYP</td>
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<td>Bank Account Type</td>
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<td></td>
<td>Preferred Account Indicator</td>
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<td></td>
<td>Verified Status</td>
</tr>
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<td>VERIFY-DTE</td>
<td>9(8)</td>
<td></td>
<td>Verified Date</td>
</tr>
<tr>
<td>VERIFY-TME</td>
<td>9(7)</td>
<td></td>
<td>Verified Time</td>
</tr>
<tr>
<td>VERIFY-USER</td>
<td>X(4)</td>
<td></td>
<td>Verified by user</td>
</tr>
<tr>
<td>DTE-DEACTIVATED</td>
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<td></td>
<td>Date deactivated</td>
</tr>
<tr>
<td>TME-DEACTIVATED</td>
<td>9(7)</td>
<td></td>
<td>Time deactivated</td>
</tr>
<tr>
<td>USER-DEACTIVATED</td>
<td>X(4)</td>
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<td>Deactivated by user</td>
</tr>
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<td>Last update date</td>
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<td>LAS-UPD-TME</td>
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<td></td>
<td>Last update time</td>
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<tr>
<td>LAS-UPD-SOURCE</td>
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</tbody>
</table>
### 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

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

<table>
<thead>
<tr>
<th>BDA FIELD NAME</th>
<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
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<tbody>
<tr>
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<td>BD</td>
<td>System BDA</td>
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<tr>
<td>CARD-CDE</td>
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<td>Card code 94</td>
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<tr>
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<td>Broker Code</td>
</tr>
<tr>
<td>INSTR-TYP</td>
<td>X</td>
<td></td>
<td>Share type code, E = equity, G = bond</td>
</tr>
<tr>
<td>INSTR-ALPHA</td>
<td>X(6)</td>
<td></td>
<td>Share alpha code</td>
</tr>
<tr>
<td>INSTR-VERSION</td>
<td>9(3)</td>
<td></td>
<td>Share version number</td>
</tr>
<tr>
<td>RTS-CONV-DTE</td>
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<td></td>
<td>Date entitlement takes place</td>
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<td></td>
<td>Link sequence number (complex)</td>
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<td>INSTR-TYP-REP</td>
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<td></td>
<td>New share type code, E = equity, G</td>
</tr>
<tr>
<td>INSTR-ALPHA-REP</td>
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<td></td>
<td>New share alpha code</td>
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<td>INSTR-VERS-REP</td>
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<td></td>
<td>New share version number</td>
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<td>RTS-CONV-CDE</td>
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<td>Entitlement conversion code</td>
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<td>ISSUE-RAT-OLD</td>
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<td></td>
<td>Ratio of old shares - 7 decimal places</td>
</tr>
<tr>
<td>ISSUE-RAT-NEW</td>
<td>9(13)</td>
<td></td>
<td>Ratio of new shares - 7 decimal places</td>
</tr>
<tr>
<td>RTS-TU-PRCE</td>
<td>9(13)</td>
<td></td>
<td>Take up price - 6 decimal places</td>
</tr>
<tr>
<td>RTS-PAY-QTY</td>
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<td></td>
<td>Minimum number of new shares</td>
</tr>
<tr>
<td>RTS-PO-PRCE</td>
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<td></td>
<td>Pay out price - 6 decimal places</td>
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<td>RTS-LINK-CDE</td>
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<td>Link code for complex cases</td>
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<td>Non-resident tax percentage</td>
</tr>
<tr>
<td>WITHHOLDING-TAX%</td>
<td>9(9)</td>
<td></td>
<td>Withholding tax percentage – 7 decimal places</td>
</tr>
<tr>
<td>STC RATE</td>
<td>9(11)</td>
<td></td>
<td>STC rate – 6 decimal places</td>
</tr>
<tr>
<td>FOREIGN TAX RATE%</td>
<td>9(11)</td>
<td></td>
<td>Foreign tax rate percentage – 6 decimal places</td>
</tr>
<tr>
<td>SA RESIDENT TAX REBATE%</td>
<td>9(11)</td>
<td></td>
<td>SA resident tax rebate % – 6 decimal places</td>
</tr>
<tr>
<td>DIVIDEND IN SPECIE</td>
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<td></td>
<td>Dividend in specie indicator – ‘Y’ or ‘N’.</td>
</tr>
<tr>
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</table>
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.

<table>
<thead>
<tr>
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<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
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<tr>
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<td>System BDA</td>
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<td></td>
<td>Broker Code</td>
</tr>
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<td>LDT</td>
<td>9(8)</td>
<td></td>
<td>Last Day to Trade for Dividend</td>
</tr>
<tr>
<td>INSTR-TYP</td>
<td>X(6)</td>
<td></td>
<td>Share type code</td>
</tr>
<tr>
<td>INSTR-ALPHA</td>
<td>X(6)</td>
<td></td>
<td>Share alpha code</td>
</tr>
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<td></td>
<td>Share version number</td>
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<td>Entitlement process sequence number</td>
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<td></td>
<td>Record Date</td>
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<td>ELECTION-DTE</td>
<td>9(8)</td>
<td></td>
<td>Election-Date</td>
</tr>
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<td>PAY-DTE</td>
<td>9(8)</td>
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<td>Dividend Pay Date</td>
</tr>
<tr>
<td>EX-DIV-DTE</td>
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<td>Ex-Dividend Date</td>
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<td>Dividend Sequence Number</td>
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<td>DIV-TYP</td>
<td>X(3)</td>
<td></td>
<td>Dividend Number ex Company</td>
</tr>
<tr>
<td>DIV-RATE</td>
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<td></td>
<td>Dividend rate (6 decimal places)</td>
</tr>
<tr>
<td>DIV-BONUS</td>
<td>9(11)</td>
<td></td>
<td>Dividend bonus - 6 decimal</td>
</tr>
<tr>
<td>RATE-CONF</td>
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<td></td>
<td>Rate confirmed - 'Y' or 'N'</td>
</tr>
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<td>New share type code</td>
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<td>INSTR-ALPHA-REP</td>
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<td></td>
<td>New share alpha code</td>
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<td>INSTR-VERS-REP</td>
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<td>New share version number</td>
</tr>
<tr>
<td>ISSUE-RAT-OLD</td>
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<td></td>
<td>Ratio of old shares</td>
</tr>
<tr>
<td>ISSUE-RAT-NEW</td>
<td>9(13)</td>
<td></td>
<td>Ratio of new shares</td>
</tr>
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</tbody>
</table>
### 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.

<table>
<thead>
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<th>DESCRIPTION</th>
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<tbody>
<tr>
<td>SYSTEM</td>
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<td>System BDA</td>
</tr>
<tr>
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<td>CARD CODE 67</td>
</tr>
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<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker Code</td>
</tr>
<tr>
<td>LDT</td>
<td>9(8)</td>
<td></td>
<td>Last Day to Trade for Dividend</td>
</tr>
<tr>
<td>INSTR-TYP</td>
<td>X</td>
<td></td>
<td>Share type code</td>
</tr>
<tr>
<td>INSTR-ALPHA</td>
<td>X(6)</td>
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<td>Share alpha code</td>
</tr>
<tr>
<td>INSTR-VERSION</td>
<td>9(3)</td>
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<td>Share version number</td>
</tr>
<tr>
<td>PROCES-TYP</td>
<td>X(2)</td>
<td></td>
<td>Entitlement process type</td>
</tr>
<tr>
<td>PROCES-SEQ</td>
<td>9(3)</td>
<td></td>
<td>Entitlement process sequence number</td>
</tr>
<tr>
<td>WITHHOLDING-TAX%</td>
<td>9(9)</td>
<td></td>
<td>Withholding tax percentage – 7 decimal places</td>
</tr>
<tr>
<td>STC RATE</td>
<td>9(11)</td>
<td></td>
<td>STC rate – 6 decimal places</td>
</tr>
<tr>
<td>FOREIGN TAX RATE%</td>
<td>9(11)</td>
<td></td>
<td>Foreign tax rate percentage – 6 decimal places</td>
</tr>
<tr>
<td>SA RESIDENT TAX REBATE%</td>
<td>9(11)</td>
<td></td>
<td>SA resident tax rebate % – 6 decimal places</td>
</tr>
<tr>
<td>DIVIDEND IN SPECIE</td>
<td>X</td>
<td></td>
<td>Dividend in specie indicator – ‘Y’ or ‘N’.</td>
</tr>
<tr>
<td>FILLER</td>
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</tbody>
</table>
### 5.15.5 Account Tax Exemption Details - Layout 68

<table>
<thead>
<tr>
<th>BDA FIELD NAME</th>
<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
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<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>68</td>
<td>Card code 68</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker Code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account Code</td>
</tr>
<tr>
<td>TAX EXEMPTION CODE</td>
<td>X</td>
<td></td>
<td>Tax exemption code</td>
</tr>
<tr>
<td>FROM DATE</td>
<td>9(8)</td>
<td></td>
<td>From date</td>
</tr>
<tr>
<td>TO DATE</td>
<td>9(8)</td>
<td></td>
<td>To date</td>
</tr>
<tr>
<td>DEACT DATE</td>
<td>9(8)</td>
<td></td>
<td>Deactivation date</td>
</tr>
<tr>
<td>REIT EXEMPT CODE</td>
<td>X(1)</td>
<td></td>
<td>REIT Exemption code</td>
</tr>
<tr>
<td>WTI EXEMPT CODE</td>
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<td>WTI Exemption code</td>
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5.15.6  Account Tax Identification Type Codes - Layout 62

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<td>System BDA</td>
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<td>Card code 62</td>
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<td>Broker Code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account Code</td>
</tr>
<tr>
<td>TAX ID TYPE CODE</td>
<td>X(3)</td>
<td></td>
<td>Tax Identification type code</td>
</tr>
<tr>
<td>TAX ID CODE DESCRIPTION</td>
<td>X(30)</td>
<td></td>
<td>Tax Identification type code description</td>
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<tr>
<td>PASS THRU</td>
<td>X(1)</td>
<td></td>
<td>Pass through indicator</td>
</tr>
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<td>FROM DATE</td>
<td>9(8)</td>
<td></td>
<td>From date</td>
</tr>
<tr>
<td>TO DATE</td>
<td>9(8)</td>
<td></td>
<td>To date</td>
</tr>
<tr>
<td>DEACT DATE</td>
<td>9(8)</td>
<td></td>
<td>Deactivation date</td>
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### 5.15.7 ENTDU Details - Layout 73

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<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>73</td>
<td>Card code 73</td>
</tr>
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<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker Code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account Code</td>
</tr>
<tr>
<td>SHORT-NAME</td>
<td>X(20)</td>
<td></td>
<td>Short Name</td>
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<td>NON-RES</td>
<td>X</td>
<td></td>
<td>Non-resident indicator</td>
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<td>PAY-INSTR-DTE</td>
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<td></td>
<td>Pay instruction date</td>
</tr>
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<td>ACC-TYP</td>
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<td></td>
<td>Account type</td>
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<td>BRN-CDE</td>
<td>X(2)</td>
<td></td>
<td>Branch Code</td>
</tr>
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<td>PARTNER</td>
<td>X(2)</td>
<td></td>
<td>Partner Code</td>
</tr>
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<td>PROC-TYP</td>
<td>X(2)</td>
<td></td>
<td>Process Type</td>
</tr>
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<td>MTHR-TYP</td>
<td>X</td>
<td></td>
<td>Mother Share Type</td>
</tr>
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<td>MTHR-ALPHA</td>
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<td></td>
<td>Mother Share Alpha</td>
</tr>
<tr>
<td>MTHR-VERSION</td>
<td>9(3)</td>
<td></td>
<td>Mother Share Version Number</td>
</tr>
<tr>
<td>OLD-QTY</td>
<td>9(13)</td>
<td></td>
<td>Old Share Qty</td>
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<tr>
<td>REPL-TYP</td>
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<td>Replacement Share Type</td>
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<td></td>
<td>Replacement Share Alpha</td>
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<td></td>
<td>Replacement Share Version Number</td>
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<td>SHR-DUE-SIGN</td>
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<td></td>
<td>Sign for new share qty due</td>
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<tr>
<td>SHR-DUE</td>
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<td></td>
<td>New Share Qty Due</td>
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<tr>
<td>LDT</td>
<td>9(9)</td>
<td></td>
<td>Last date to trade</td>
</tr>
<tr>
<td>RECORD-DTE</td>
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<td>Record Date</td>
</tr>
<tr>
<td>LAST-UPD-DTE</td>
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<td></td>
<td>Last updated date</td>
</tr>
<tr>
<td>DTA %</td>
<td>9(9)</td>
<td></td>
<td>DTA % - 7 decimal places</td>
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<td></td>
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### 5.16.1 SLB records – Layout 60

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<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
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<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
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<tr>
<td>CARD-CDE</td>
<td>9(2)</td>
<td>60</td>
<td>Card code 78</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>LEND-ACC</td>
<td>9(7)</td>
<td></td>
<td>Lender account code</td>
</tr>
<tr>
<td>DEAL-ID</td>
<td>9(7)</td>
<td></td>
<td>Deal Id</td>
</tr>
<tr>
<td>BORW-ACC</td>
<td>9(7)</td>
<td></td>
<td>Borrower account code</td>
</tr>
<tr>
<td>INSTR-TYP</td>
<td>X(1)</td>
<td></td>
<td>Instrument Type</td>
</tr>
<tr>
<td>INSTR-ALPHA</td>
<td>X(6)</td>
<td></td>
<td>Instrument Alpha</td>
</tr>
<tr>
<td>INSTR-VERSION</td>
<td>9(3)</td>
<td></td>
<td>Instrument Version</td>
</tr>
<tr>
<td>LOAN-QTY</td>
<td>X(11)</td>
<td></td>
<td>Loan quantity</td>
</tr>
<tr>
<td>LOAN-RATE</td>
<td>9(5)</td>
<td></td>
<td>Loan rate</td>
</tr>
<tr>
<td>LOAN-COLL</td>
<td>9(15)</td>
<td></td>
<td>Loan collateral</td>
</tr>
<tr>
<td>COLL-TYPE</td>
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<td></td>
<td>Collateral type</td>
</tr>
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<td>PROV-BAL-CDE</td>
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<td>Provider balance code</td>
</tr>
<tr>
<td>PROV-INT-CDE</td>
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<td></td>
<td>Provider interest code</td>
</tr>
<tr>
<td>PROV-TRN-CDE</td>
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<td></td>
<td>Provider turn code</td>
</tr>
<tr>
<td>BRK-BAL-CDE</td>
<td>X(2)</td>
<td></td>
<td>Broker balance code</td>
</tr>
<tr>
<td>BRK-INT-CDE</td>
<td>X(2)</td>
<td></td>
<td>Broker interest code</td>
</tr>
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<td>BRK-TRN-CDE</td>
<td>X(2)</td>
<td></td>
<td>Broker turn code</td>
</tr>
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<td>BORW-RATE</td>
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<td></td>
<td>Borrow rate</td>
</tr>
<tr>
<td>BORW-COLL</td>
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<td></td>
<td>Borrow collateral</td>
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<tr>
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<td></td>
<td>Receive date</td>
</tr>
<tr>
<td>RETN-DTE</td>
<td>9(9)</td>
<td></td>
<td>Return date</td>
</tr>
<tr>
<td>RECV-STAT</td>
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<td></td>
<td>Receive status</td>
</tr>
<tr>
<td>RETN-STAT</td>
<td>X(1)</td>
<td></td>
<td>Return status</td>
</tr>
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<td>TRADE-DTE</td>
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<td></td>
<td>Trade Date</td>
</tr>
<tr>
<td>FILLER</td>
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### 5.16.2 Collateral Records – Layout 61

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<th>DESCRIPTION</th>
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</thead>
<tbody>
<tr>
<td>SYSTEM</td>
<td>X(2)</td>
<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
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<td>Card code 61</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>PROV-ACC</td>
<td>9(7)</td>
<td></td>
<td>Provider account</td>
</tr>
<tr>
<td>DEAL-ID</td>
<td>9(7)</td>
<td></td>
<td>Deal Id</td>
</tr>
<tr>
<td>RECV-ACC</td>
<td>9(7)</td>
<td></td>
<td>Receiver account</td>
</tr>
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<td></td>
<td>Instrument type</td>
</tr>
<tr>
<td>INSTR-ALPHA</td>
<td>X(6)</td>
<td></td>
<td>Instrument alpha</td>
</tr>
<tr>
<td>INSTR-VERSION</td>
<td>9(3)</td>
<td></td>
<td>Instrument version</td>
</tr>
<tr>
<td>COLL-QTY</td>
<td>9(11)</td>
<td></td>
<td>Collateral quantity</td>
</tr>
<tr>
<td>RECV-DTE</td>
<td>9(9)</td>
<td></td>
<td>Receive date</td>
</tr>
<tr>
<td>RETN-DTE</td>
<td>9(9)</td>
<td></td>
<td>Return date</td>
</tr>
<tr>
<td>RECV-STAT</td>
<td>X(1)</td>
<td></td>
<td>Receive status</td>
</tr>
<tr>
<td>RETN-STAT</td>
<td>X(1)</td>
<td></td>
<td>Return status</td>
</tr>
<tr>
<td>TRADE-DTE</td>
<td>9(8)</td>
<td></td>
<td>Trade Date</td>
</tr>
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<td>FILLER</td>
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<td>SPACES</td>
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## 5.17 Portfolio and Holdings

### 5.17.1 Portfolio / All Holdings Record - Layout 96

<table>
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<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
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</thead>
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<tr>
<td>SYSTEM</td>
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<td>BD</td>
<td>System BDA</td>
</tr>
<tr>
<td>CARD-CDE</td>
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<td>Card code 96</td>
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<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Broker code</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>9(7)</td>
<td></td>
<td>Account code</td>
</tr>
<tr>
<td>INSTR-TYP</td>
<td>X</td>
<td></td>
<td>Share type code, E = equity, G = bond</td>
</tr>
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<td></td>
<td>Share alpha code</td>
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<td>INSTR-VERSION</td>
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<td></td>
<td>Share version number</td>
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<td>ICB sector code</td>
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<td>SIGN-HLDG-QTY</td>
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<td>Sign of shareholding quantity</td>
</tr>
<tr>
<td>SH-HLDG-QTY</td>
<td>9(13)</td>
<td></td>
<td>Shareholding quantity not at home</td>
</tr>
<tr>
<td>SIGN-QTY-AH</td>
<td>X</td>
<td></td>
<td>Sign of shareholding quantity at home</td>
</tr>
<tr>
<td>QTY-AH</td>
<td>9(13)</td>
<td></td>
<td>Shareholding quantity</td>
</tr>
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<td>SIGN-COST-OTH</td>
<td>X</td>
<td></td>
<td>Sign of cost of scrip not at home</td>
</tr>
<tr>
<td>COST-PF-OTH</td>
<td>9(15)</td>
<td></td>
<td>Cost of scrip not at home - 2 decimal places</td>
</tr>
<tr>
<td>SIGN-COST-AH</td>
<td>X</td>
<td></td>
<td>Sign of cost of scrip at home</td>
</tr>
<tr>
<td>COST-PF-AH</td>
<td>9(15)</td>
<td></td>
<td>Cost of scrip at home - 2 decimal places</td>
</tr>
<tr>
<td>SIGN-QTY-HLDG</td>
<td>X</td>
<td></td>
<td>Sign of unit trust quantity holding</td>
</tr>
<tr>
<td>UT-QTY-HLDG</td>
<td>9(15)</td>
<td></td>
<td>foreign unit trust quantity holding – 5 decimal places</td>
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<tr>
<td>SIGN-DEMAT-QTY</td>
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<td></td>
<td>Sign of demat quantity holding</td>
</tr>
<tr>
<td>DEMAT-HLDG-QTY</td>
<td>9(13)</td>
<td></td>
<td>Dematerialised quantity at CSD</td>
</tr>
<tr>
<td>SIGN-UT-QTY</td>
<td>X</td>
<td></td>
<td>Sign of unit trust quantity (Deals)</td>
</tr>
<tr>
<td>UT-QTY</td>
<td>9(15)</td>
<td></td>
<td>Unit trust quantity (Deals)</td>
</tr>
<tr>
<td>SIGN-CL-QTY</td>
<td>X</td>
<td></td>
<td>Sign of collateral quantity</td>
</tr>
<tr>
<td>CL-QTY</td>
<td>9(13)</td>
<td></td>
<td>Collateral quantity</td>
</tr>
<tr>
<td>BOARD-IND</td>
<td>X</td>
<td></td>
<td>Board Field (ALTX Board: A, DCM</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Board: D, JSE Overall: J, NAM Overall: N,</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>VCM Board: V)</td>
</tr>
<tr>
<td>SIGN-PL-QTY</td>
<td>X</td>
<td>+/-</td>
<td>Sign (+/-) of the Pledge Quantity</td>
</tr>
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<td>PL-QTY</td>
<td>9(13)</td>
<td></td>
<td>Pledge quantity indicated by CP</td>
</tr>
<tr>
<td>FILLER</td>
<td>X(10)</td>
<td></td>
<td>Spaces</td>
</tr>
</tbody>
</table>
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 BSACICS 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 BSACICS, 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 BSACICS. 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:

<table>
<thead>
<tr>
<th>OPTN: T.EML</th>
<th>BCS/A: GENERAL TABLE MAINTENANCE</th>
<th>9JAN13 11:09:29</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTN:</td>
<td>AAA A99</td>
<td></td>
</tr>
<tr>
<td>TABLE:</td>
<td>E-MAIL ADDRESS</td>
<td>START BROWSING FROM:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>INCL DEACTIVATED : N</td>
</tr>
<tr>
<td>F BRK PROCS</td>
<td>/SEQ DESCRIPTION</td>
<td></td>
</tr>
<tr>
<td></td>
<td>01 ELECDN001 <a href="mailto:XXXX1@COMPANY_EMAIL1.CO.ZA">XXXX1@COMPANY_EMAIL1.CO.ZA</a></td>
<td></td>
</tr>
<tr>
<td></td>
<td>01 ELECDN002 <a href="mailto:XXXX2@COMPANY_EMAIL2.CO.ZA">XXXX2@COMPANY_EMAIL2.CO.ZA</a></td>
<td></td>
</tr>
</tbody>
</table>

Example of Upload

<table>
<thead>
<tr>
<th>OPTN: T.EML</th>
<th>BCS/A: GENERAL TABLE MAINTENANCE</th>
<th>9JAN13 11:09:29</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTN:</td>
<td>AAA A99</td>
<td></td>
</tr>
<tr>
<td>TABLE:</td>
<td>E-MAIL ADDRESS</td>
<td>START BROWSING FROM:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>INCL DEACTIVATED : N</td>
</tr>
<tr>
<td>F BRK PROCS</td>
<td>/SEQ DESCRIPTION</td>
<td></td>
</tr>
<tr>
<td></td>
<td>01 ELECUP001 <a href="mailto:XXXX1@COMPANY_EMAIL1.CO.ZA">XXXX1@COMPANY_EMAIL1.CO.ZA</a></td>
<td></td>
</tr>
<tr>
<td></td>
<td>01 ELECUP002 <a href="mailto:XXXX2@COMPANY_EMAIL2.CO.ZA">XXXX2@COMPANY_EMAIL2.CO.ZA</a></td>
<td></td>
</tr>
</tbody>
</table>

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.SYYYYYY, 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 BSACICS 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.

<table>
<thead>
<tr>
<th>OPTN:</th>
<th>PROCESS REQUEST</th>
<th>BCS/A:</th>
<th>BROWSE PROCESS REQUESTS</th>
<th>03JAN13 09:29:22</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTN:</td>
<td>Frequency</td>
<td>AAA</td>
<td>A81</td>
<td></td>
</tr>
<tr>
<td>BROKER CODE :</td>
<td>0001</td>
<td>START BROWSING FROM PROCESS CODE :</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PROCESS CODE</td>
<td>FUNCTION CODE</td>
<td>NUMBER</td>
<td>NAME</td>
<td>CDE</td>
</tr>
<tr>
<td>EBDTRE</td>
<td>TMS DEAL INFO EXTRACT FOR DB2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ECHCSEH</td>
<td>TRF ECH SURPLUS FUT.AMT TO CSH</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ECHDLY</td>
<td>DAILY DELIVERY ITEMS FROM ECH</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ECHEXT</td>
<td>EXTRACT OF ECH RECON BALANCES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ECHSPL</td>
<td>CREATE ECH DL/REC DEALS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ELECDN</td>
<td>CA ELECTION DOWNLOAD</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ENTBAK</td>
<td>BACKUP ENT DISSEMINATION FILES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ENTEQU</td>
<td>CRTE SEQ ENT FILE EQUITIES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ENTGLT</td>
<td>CREATE ENT SEQ FILE GILTS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EQAVDI</td>
<td>POPULATE DEAL ID ON AVG SUM</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EQUDIR</td>
<td>CALCULATES AVERAGE PRICES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EQUEDT</td>
<td>EDIT EQUITY INPUT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EQUSPL</td>
<td>SPLIT EQUITY DEALS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ERDSEQ</td>
<td>WRITES REMOTE INFO TO SEQ FILE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ETCNOT</td>
<td>CREATE ETC CONTRACT NOTE MSG</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ETRLMF</td>
<td>EXTRACT FOR REPORT PTRLMF</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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 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.**
If the download was not successful, the reason can be found on the on-line screen COMPR or on the report PCOMPR with error format code of ‘ELEC’. Note that the PCOMPR is a batch report and therefore the reason will only be available the following day.

```
OPTN: COMPR              BCS/A: COMMON ERROR ENQUIRY         16NOV12 13:18:07
ACTN:                        AAA    A81

ERROR FORMAT CODE: ELEC          ERROR PROCESS DATE: 20120102
BRK   LDR         INSTR VER    PROC TYP    ACC    LINE     ERROR DESCRIPTION
001   20120103    AGL   002       SC          Invalid Instrument details

PF1 HELP  PF2 RETURN  PF4 MENU   PF5 TABLES  PF7/8 PAGE   PF11  -->  PF12 QUIT
```

Note “ACC” and “LINE will only be filled for any election upload errors.

The file will consist of:

- A Header record
- An Event detail record
- Multiple Account Detail records
- A Trailer record

CARD CODE '000’
CARD CODE '071’
CARD CODE '072’
CARD CODE '999’
6.2 Elective Events Frozen File Card Codes

6.2.1 Header Record – Card Code 000

<table>
<thead>
<tr>
<th>BDA FIELD NAME</th>
<th>LENGTH</th>
<th>VALUE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>CARD CODE</td>
<td>9(3)</td>
<td>000</td>
<td></td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>9(3)</td>
<td></td>
<td>Brokers Numeric Code</td>
</tr>
<tr>
<td>DATE</td>
<td>9(8)</td>
<td></td>
<td>Upload Date</td>
</tr>
<tr>
<td>TIME</td>
<td>9(6)</td>
<td></td>
<td>Upload Time</td>
</tr>
<tr>
<td>FILLER</td>
<td>X(10)</td>
<td></td>
<td>Spaces</td>
</tr>
</tbody>
</table>

Total Length: 30

Field Details

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description</th>
<th>CTL (M/O/C O/S)</th>
<th>NCTL (M/O/C O/S)</th>
<th>Data Type</th>
<th>Data Length</th>
<th>Data Validation</th>
<th>Logic Validation</th>
</tr>
</thead>
<tbody>
<tr>
<td>CARD CODE</td>
<td>Card Code Number</td>
<td>M</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(3)</td>
<td>000</td>
<td></td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>Broker Code</td>
<td>M</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(3)</td>
<td>Validate against BROKM</td>
<td>Must be a valid, active Broker</td>
</tr>
<tr>
<td>DATE</td>
<td>Upload Date</td>
<td>M</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(8)</td>
<td>CCYMMDD</td>
<td></td>
</tr>
<tr>
<td>TIME</td>
<td>Upload Time</td>
<td>M</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(6)</td>
<td>HHMMSS</td>
<td></td>
</tr>
<tr>
<td>FILLER</td>
<td>Filler</td>
<td>M</td>
<td>M</td>
<td>CHARACTER</td>
<td>X(10)</td>
<td>Spaces</td>
<td></td>
</tr>
</tbody>
</table>
### 6.2.2 Event Detail Record – Card Code 071

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

**Field Details**

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Mandatory/Optional</th>
<th>Data Type</th>
<th>Data Length</th>
<th>Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>CARD CDE</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(3)</td>
<td>071</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(3)</td>
<td>Numeric BRK-CDE</td>
</tr>
<tr>
<td>PROC S TYPE</td>
<td>M</td>
<td>CHARACTER</td>
<td>X(2)</td>
<td>Process type of event. ‘TU’, ‘OL’, ‘SC’, ‘CD’</td>
</tr>
<tr>
<td>INSTR TYP</td>
<td>M</td>
<td>CHARACTER</td>
<td>X</td>
<td>Instrument type of the share – should be ‘E’ for equity</td>
</tr>
<tr>
<td>ALPHA</td>
<td>M</td>
<td>CHARACTER</td>
<td>X(6)</td>
<td>Instruments Alpha Code</td>
</tr>
<tr>
<td>VERS</td>
<td>M</td>
<td>CHARACTER</td>
<td>X(3)</td>
<td>Instruments Version</td>
</tr>
<tr>
<td>RD/LDR</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(8)</td>
<td>Record Date</td>
</tr>
<tr>
<td>PROC S-SEQ</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(3)</td>
<td>Process sequence</td>
</tr>
<tr>
<td>FILLER</td>
<td>O</td>
<td>CHARACTER</td>
<td>X(71)</td>
<td>Spaces</td>
</tr>
</tbody>
</table>
### 6.2.3 Account Detail Record – Card Code 072

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

**TOTAL LENGTH** 100

### Field Details

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Mandatory/Optional</th>
<th>Data Type</th>
<th>Data Length</th>
<th>Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>CARD CDE</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(3)</td>
<td>072</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(3)</td>
<td>Numeric BRK-CDE</td>
</tr>
<tr>
<td>SECTION</td>
<td>M</td>
<td>CHARACTER</td>
<td>X</td>
<td>Section ‘B’ or ‘G’ or ‘H’ being passed</td>
</tr>
<tr>
<td>OPTN-CDE</td>
<td>O</td>
<td>CHARACTER</td>
<td>X(2)</td>
<td>Option code of event</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Only filled if election has taken place</td>
</tr>
<tr>
<td>ACC-CDE</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(7)</td>
<td>Account code. Note: will also be filled if SLB data</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>being passed with the Lender or Provide a/c number</td>
</tr>
<tr>
<td>ORIG-SIGN</td>
<td>M</td>
<td>CHARACTER</td>
<td>X</td>
<td>Sign of the Original Quantity</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>‘-‘ if negative ORIG-QTY</td>
</tr>
<tr>
<td>Field</td>
<td>Mandatory</td>
<td>Type</td>
<td>Length</td>
<td>Description</td>
</tr>
<tr>
<td>---------------</td>
<td>-----------</td>
<td>----------</td>
<td>--------</td>
<td>-------------</td>
</tr>
<tr>
<td>ORIG-QTY</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(13)</td>
<td>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</td>
</tr>
<tr>
<td>ELECTION-SIGN</td>
<td>M</td>
<td>CHARACTER</td>
<td>X</td>
<td>Sign of the Election Quantity ‘-’ if negative ELECTION-QTY, ‘+’ if positive ELECTION-QTY, ‘0’ if zero ELECTION-QTY</td>
</tr>
<tr>
<td>ELECTION-QTY</td>
<td>O</td>
<td>NUMERIC</td>
<td>9(13)</td>
<td>Only filled if election has taken place</td>
</tr>
<tr>
<td>SCIRP-TYP</td>
<td>O</td>
<td>CHARACTER</td>
<td>X(2)</td>
<td>Only filled if demat holdings</td>
</tr>
<tr>
<td>REG-CDE</td>
<td>O</td>
<td>NUMERIC</td>
<td>9(2)</td>
<td>REG-CDE for account For deals REG-CDE = 00 For Demat Holdings REG-CDE &gt; 01 will be passed For account code 0 REG-CDE &gt; 01 will be passed</td>
</tr>
<tr>
<td>LOCN-ALPHA</td>
<td>O</td>
<td>CHARACTER</td>
<td>X(2)</td>
<td>Location of account</td>
</tr>
<tr>
<td>DEL-ID</td>
<td>O</td>
<td>NUMERIC</td>
<td>9(7)</td>
<td>Deal ID of BUY or SELL or SLB</td>
</tr>
<tr>
<td>PS-IND</td>
<td>O</td>
<td>CHARACTER</td>
<td>X</td>
<td>‘P’ = Purchase. ‘S’ = Sale</td>
</tr>
<tr>
<td>LENDER-ACC</td>
<td>O</td>
<td>NUMERIC</td>
<td>9(7)</td>
<td>Lender account from Section G Mandatory if Borrower account passed</td>
</tr>
<tr>
<td>BORROWER-ACC</td>
<td>O</td>
<td>NUMERIC</td>
<td>9(7)</td>
<td>Borrower account from Section G Mandatory if Lender account passed</td>
</tr>
<tr>
<td>PROVIDER-ACC</td>
<td>O</td>
<td>NUMERIC</td>
<td>9(7)</td>
<td>Provider account from Section G Mandatory if Receiver account passed</td>
</tr>
<tr>
<td>RECEIVER-ACC</td>
<td>O</td>
<td>NUMERIC</td>
<td>9(7)</td>
<td>Provider account from Section G Mandatory if Provider account passed</td>
</tr>
<tr>
<td>FILLER</td>
<td>O</td>
<td>CHARACTER</td>
<td>X(14)</td>
<td>Spaces</td>
</tr>
</tbody>
</table>

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

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

Field Details

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<th>Mandatory / Optional</th>
<th>Data Type</th>
<th>Data Length</th>
<th>Values</th>
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</thead>
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<td>CARD CODE</td>
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<td>9(3)</td>
<td>999</td>
</tr>
<tr>
<td>BRK-CDE</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(3)</td>
<td></td>
</tr>
<tr>
<td>DATE</td>
<td>M</td>
<td>NUMERIC</td>
<td>9(8)</td>
<td>Process Date CCYYMMDD</td>
</tr>
<tr>
<td>TIME</td>
<td>M</td>
<td>NUMERIC</td>
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<td>Process Time HHMMSS</td>
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<td>9(9)</td>
<td>Total number of records(excluding any header and trailer records)</td>
</tr>
<tr>
<td>RECORDS PROCESSED</td>
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<td>NUMERIC</td>
<td>9(9)</td>
<td>Total number of successfully processed records. Would be the same as total records for the download</td>
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<tr>
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