**BDA CA ELECTION DOWNLOAD**

**SPECIFICATION**

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# Elective Event Downloads

Members are able to download 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 intraday.

## Facility to Upload Changed Elective Events

For details on the uploading of Elective Events please refer to the BDA Upload Specification DU - BDA CA ELECTION UPLOAD SPECIFICATION

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# Version Control

|  |  |  |  |
| --- | --- | --- | --- |
| Version | Updated By | Date | Reason for changes |
| V 0.1 | Barbara Teasdale | 7 June 2016 | Separation of Dissemination and Uploads |
| V 0.2 | Barbara Teasdale | 30 August 2016 | Addition of Event types RE, RI and IT |
|  |  |  |  |
|  |  |  |  |

# Facility to Download Elective Events

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

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

## Set-up 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. A response to each request, download or upload would be posted to these addresses. It should be noted that the positive as well as the negative responses would be posted.

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

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

* Download 🡺 ELECDN
* Upload 🡺 ELECUP

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

Example of Download:

OPTN: T.EML BCS/A: GENERAL TABLE MAINTENANCE 9JAN13 11:09:29

ACTN: AAA A99

TABLE: E-MAIL ADDRESS START BROWSING FROM:

INCL DEACTIVATED : N

F BRK PROCS /SEQ DESCRIPTION

\_ 01 ELECDN001 XXXX1@COMPANY\_EMAIL1.CO.ZA

\_ 01 ELECDN002 XXXX2@COMPANY\_EMAIL2.CO.ZA

\_

## Access to the dataset

Members can use their existing sign-ons 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,

## Response Codes for Downloaded and Uploaded files

The following responses will be provided for every file submitted. If whole file has been successfully updated a “Successfully Updated” message would be sent to the email/s, as specified on T.EML. If errors were encountered, each erroneous line would be loaded onto BDA via function COMPR and PCOMPR report. Note: the email would state the number of records read and number of records processed so the user will know whether to look for the details of the COMPR or not.

The response file sent back to the broker would also have a response description per detail line.

|  |  |
| --- | --- |
| **Response** | **Response Description** |
| 000 | Successfully updated |
| 001 | Invalid Instrument details |
| 002 | Invalid LDR date |
| 003 | Invalid account |
| 004 | Invalid Option Code |
| 005 | Invalid election qty |
| 006 | Invalid SCRIP type |
| 007 | Invalid REG code |
| 008 | Invalid LOCN Alpha |
| 009 | Invalid DEL ID |
| 010 | Invalid DEAL Opposite account |
| 011 | Invalid electronic pledge Opposite account |
| 012 | Invalid SLB type |
| 013 | Invalid SLB STOCK account |
| 014 | Duplicate account |
| 015 | OPTION CDE not selected |
| 016 | Warning – no details to change |
| 017 | Insufficient Holdings for Opposite Account |
| 018 | Insufficient Holdings for LB Stock account |
| 019 | Invalid Opposite account for Electronic pledge |
| 020 | Deal positions not confirmed |
| 021 | Cannot change account 41616 or 41608 |
| 022 | Cannot change after LDR |
| 023 | Cut-off Time reached – no changes applied |
| 024 | Invalid Section – only B,G,H allowed |
| 025 | Section dtls passed do not match dtls passed |
| 026 | Invalid LINE number a possible duplicate has been sent. |
| 027 | Invalid process type |
| 028 | Full quantity elected on already |
| 029 | ORIG-QTY mismatch to Frozen file. Frozen file used. |
| 030 | No header record – file rejected |
| 031 | No event detail record - file rejected |
| 032 | No account detail record – file rejected |
| 032 | No trailer record – file rejected |
| 033 | Incorrect number Detail records - file rejected |
| 99999 | Technical error - no changes were applied – contact CSS Support |

### Download via RPROC

A Member is 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 are requested.

OPTN: RPROC BCS/A: BROWSE PROCESS REQUESTS 03JAN13 09:29:22

ACTN: AAA A81

BROKER CODE : 0001 START BROWSING FROM PROCESS CODE :

PROCESS REQUEST FREQUENCY

FUNC CODE NUMBER NAME CDE DAY MONTH

\_ EBDTRE TMS DEAL INFO EXTRACT FOR DB2 \_ \_\_

\_ ECHCSH TRF ECH SURPLUS FUT.AMT TO CSH \_ \_\_

\_ ECHDLY DAILY DELIVERY ITEMS FROM ECH \_ \_\_

\_ ECHEXT EXTRACT OF ECH RECON BALANCES \_ \_\_

\_ ECHSPL CREATE ECH DL/REC DEALS \_ \_\_

\_ ELECDN CA ELECTION DOWNLOAD \_ \_\_

\_ ENTBAK BACKUP ENT DISSEMINATION FILES \_ \_\_

\_ ENTEQU CRTE SEQ ENT FILE EQUITIES \_ \_\_

\_ ENTGLT CREATE ENT SEQ FILE GILTS \_ \_\_

\_ EQAVDI POPULATE DEAL ID ON AVG SUM \_ \_\_

\_ EQUDIR CALCULATES AVERAGE PRICES \_ \_\_

\_ EQUEDT EDIT EQUITY INPUT \_ \_\_

\_ EQUSPL SPLIT EQUITY DEALS \_ \_\_

\_ ERDSEQ WRITES REMOTE INFO TO SEQ FILE \_ \_\_

\_ ETCNOT CREATE ETC CONTRACT NOTE MSG \_ \_\_

\_ ETRLMF EXTRACT FOR REPORT PTRLMF \_ \_\_

PF1/13 HELP PF2/14 RETURN PF4/16 MAIN MENU PF7/19 PREV PF8/20 NXT PF12/24 QUIT

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

OPTN: RPROC BCS/A: UPDATE PROCESS REQUEST 03JAN13 09:35:2

ACTN: AAA A81

PROCESS : ELECDN BROKER ELECTION DOWNLOAD REQUEST: 001

RUN FREQUENCY : \_ RUN DAY: \_\_ QUARTER/HALFYEAR START MONTH: \_\_

ONLINE / BATCH : ONLINE

REQUEST PROCESSING PARAMETERS

NAME VALUE

INSTRUMENT ALPHA \_\_\_\_\_\_

INSTRUMENT VERSION \_\_\_

PROCESS TYPE \_\_

PROCESS SEQ \_\_\_

REQUEST OUTPUT DESTINATION(s): LOCAL \_\_\_\_\_ \_\_\_\_\_ \_\_\_\_\_ \_\_\_\_\_

COPIES : 01 \_\_ \_\_ \_\_ \_\_

FORM : STAD \_\_\_\_ \_\_\_\_ \_\_\_\_ \_\_\_\_

PF1/13 HELP PF2/14 RETURN PF4/16 MAIN MENU PF5 PRINTERS PF12/24 QUIT

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

* Run frequency - the run frequency of ‘\*’ ,for adhoc run
* INSTRUMENT ALPHA
* INSTRUMENT VERSION
* PROCESS TYPE
* PROCESS SEQ

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

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

The downloaded records will reside on the mainframe on the dataset BBAP.SPRD.DOWNLOAD.XXX.ELEC, the ‘XXX’ depicting the relevant 2 or 3 character broker alpha code. This Dataset can be fetched from the mainframe by the brokers as is currently done for their BDA dissemination files. The download file to be retrieved will be the same name for all the events requested. ***Due to the fact that requests can be done online and would be serviced immediately, as opposed to waiting overnight, multiple requests would need to 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 PROCS TYP ACC LINE ERROR DESCRIPTION

001 20120103 AGL 002 SC Invalid Instrument

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.

### Download File Layout

The file will consist of:

* + A Header record CARD CODE ’000’
  + An Event detail record CARD CODE ‘071’
  + Multiple Account Detail records CARD CODE ‘072’’
  + A Trailer record CARD CODE ‘999’

### Header Record – Card Code 000

**BDA FIELD NAME LENGTH VALUE DESCRIPTION**

CARD CODE 9(3) 000 Card Code Number

BRK‑CDE 9(3) Brokers Numeric Code

DATE 9(8) Upload Date

TIME 9(6) Upload Time

FILLER X(10) Spaces

TOTAL LENGTH 30

Field Details

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

### Event Detail Record – Card Code 071

**BDA FIELD NAME LENGTH VALUE DESCRIPTION**

CARD CDE 9(3) 071 Card Code number

BRK CDE 9(3) Broker Numeric Code

PROCESS-TYPE X(2) Process Type

INSTR-TYP X Instrument Type

INSTR-ALPHA X(6) Instrument Alpha

INSTR-VERSION X(3) Instrument Version

LDR-DTE 9(8) Last Day to Register Date

PROC-SEQ 9(3) Process Sequence

FILLER X(71) Spaces

TOTAL LENGTH 100

**Field Details**

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

### Account Detail Record – Card Code 072

**BDA FIELD NAME LENGTH VALUE DESCRIPTION**

CARD CDE 9(3) 072 Dissemination Card Code 072

BRK CDE 9(3) Broker Numeric Code

SECTION X Section (e.g. B, G, H)

OPTN-CDE X(2) CA Option Code

ACC-CDE 9(7) Account Code

ORIG-SIGN X Sign (-/+ of Original Quantity)

ORIG-QTY 9(13) Original Quantity

ELECTION-SIGN X Election Sign (-/+ of Election Sign)

ELECTION-QTY 9(13) Election Quantity

SCRIP-TY X(2) Scrip Type

REG-CDE 9(2) Registration Code

LOCN-ALPHA X(2) Location Code

DEL-ID 9(7) Deal ID

PS-IND X Purchase or Sale Indicator

LENDER-ACC 9(7) Lender’s Account Number

BORROWER-ACC 9(7) Borrower’s Account Number

PROVIDER-ACC 9(7) Collateral Provider’s Account Number

RECEIVER-ACC 9(7) Collateral Receiver’s Account Number

FILLER X(14) Spaces

TOTAL LENGTH 100

**Field Details**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Field Name** | **Mandatory/**  **Optional** | **Data Type** | **Data Length** | **Values** |
| CARD CDE | M | NUMERIC | 9(3) | 072 |
| BRK-CDE | M | NUMERIC | 9(3) | Numeric BRK-CDE |
| SECTION | M | CHARACTER | X | Section ‘B” or ‘G’ or ‘H’ being passed |
| OPTN-CDE | O | CHARACTER | X(2) | Option code of event  Only filled if election has taken place |
| ACC-CDE | M | NUMERIC | 9(7) | Account code. Note: will also be filled if SLB data being passed with the Lender or Provide a/c number |
| ORIG-SIGN | M | CHARACTER | X | Sign of the Original Quantity  ‘-‘ if negative ORIG-QTY ,  ’+’ if positive ORIG-QTY,  ‘ ‘ if zero ORIG-QTY |
| ORIG-QTY | M | NUMERIC | 9(13) | Total holding of account  Note: each record type (i.e. open deals or open demat holdings) will have its own ORIG-QTY as would be displayed as separate records |
| ELECTION-SIGN | M | CHARACTER | X | Sign of the Election Quantity  ‘-‘ if negative ELECTION-QTY ,  ’+’ if positive ELECTION-QTY,  ‘ ‘ if zero ELECTION-QTY |
| ELECTION-QTY | O | NUMERIC | 9(13) | Only filled if election has taken place |
| SCRIP-TYP | O | CHARACTER | X(2) | Only filled if demat holdings |
| REG-CDE | O | NUMERIC | 9(2) | REG-CDE for account  For deals REG-CDE = 00  For Demat Holdings REG-CDE > 01 will be passed  For account code 0 REG-CDE > 01 will be passed |
| LOCN-ALPHA | O | CHARACTER | X(2) | Location of account |
| DEL-ID | O | NUMERIC | 9(7) | Deal ID of BUY or SELL or SLB |
| PS-IND | O | CHARACTER | X | ‘P’ = Purchase. ‘S’ = Sale |
| LENDER-ACC | O | NUMERIC | 9(7) | Lender account from Section G  Mandatory if Borrower account passed |
| BORROWER-ACC | O | NUMERIC | 9(7) | Borrower account from Section G  Mandatory if Lender account passed |
| PROVIDER-ACC | O | NUMERIC | 9(7) | Provider account from Section G  Mandatory if Receiver account passed |
| RECEIVER-ACC | O | NUMERIC | 9(7) | Provider account from Section G  Mandatory if Provider account passed |
| FILLER | O | CHARACTER | X(14) | Spaces |

**M** = Mandatory **O**=Optional

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

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

### Trailer Record – Card Code 999

**BDA FIELD NAME LENGTH VALUE DESCRIPTION**

CARD CODE 9(3) 999 Trailer Card Code 999

BRK-CDE 9(3) Broker Numeric Code

DATE 9(8) Process Date

TIME 9(6) Process Time

TOTAL RECORDS 9(9) Number of Records

RECORDS PROCESSED 9(9) Number of Records Processed

RECORDS REJECTED 9(9) Number of Records Rejected

FILLER X(3) Spaces

TOTAL LENGTH 50

**Field Details**

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

Should you have any queries regarding this document please contact the Client Services Centre on +27 11 520 7777

|  |  |
| --- | --- |
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