

# BDA FINANCIAL DATA UPLOAD

## Specification

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## 1 INTRODUCTION TO UPLOADING FINANCIAL DATA

The JSE has over the years created mechanisms that enable members and/or their software providers to upload various forms of reference and transactional data into BDA. Financial transactions that can be uploaded are journal entries, cashbook payments and cashbook receipts. There are three processes; one is an automated upload where uploaded files will automatically be processed, another which requires a manual release via RPROC which can be release during the BDA online day and a third process which will process only during the BDA batch run.

The data is uploaded using Card Codes. A Card Code is a grouping of logical data attributes, in the case of financial uploads these have been broken down into three separate card codes for each of the following transactions: Cash Payments, Cash Receipts and Journal entries.

## 2 COPYRIGHT

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## 3 VERSION CONTROL

Version	Updated By	Date	Reason for changes
V 0.1	Barbara Teasdale	23 July 2014	Separation of Dissemination and Uploads
V 0.2	Barbara Teasdale	21 October 2014	Removal of Account Uploads to separate spec.
V 0.3	Barbara Teasdale	4 November 2014	Removal of Deal and Allocation Uploads
V 0.4	Barbara Teasdale	21 April 2016	Removal of the CA Election uploads and updated Introduction
V 0.5	Barbara Teasdale	17 October 2016	Financial Data uploads automated
V 0.6	Barbara Teasdale	15 December 2016	Addition of details on the Response file and number of e-mail address increased from 10 to 100.
V 0.7	Barbara Teasdale	24 March 2017	Updated the Introduction and added back the manual process of uploading.

## 4 FINANCIAL DATA UPLOADS

Financial data may be uploaded intraday or in the Batch. Both functions allow for card codes 63, 64 and 65 which are Cash Receipts, Cash Payments and Journals. The following must be noted:

- The upload files are created in a non-delimited fixed length format.
- All numeric fields must be filled with numbers. If there is no value they must be zero filled and not left empty.

### 4.1 FTP Access

The user performing the upload requires Mainframe FTP access i.e. a FTP username and password.

- The user must first request the creation of the datasets and then for any or all FTP sign-on's to be granted access to these datasets.
- This must be done via an email from the compliance officer to [customersupport@jse.co.za](mailto:customersupport@jse.co.za).
- The member may request additional Mainframe FTP sign-ons if required.

### 4.2 Online uploads

#### 4.2.1 Automated Online Upload

On completion of the FTP upload, an online job will automatically be submitted (via CONTROL-O) to process the uploaded records. There is no requirement for users to schedule the processing of the upload file via RPROC.

- The dataset is BBAP.SPRD.UPLOAD.XXX.FINUPL.G(+1), the 'XXX' depicting the relevant 2 or 3 character broker alpha code.
- This upload has no restriction on the number of records.

#### 4.2.2 Manual Online Upload

The manual online upload needs to be released via RPROC FINONL.

- Online dataset is 'BBAP.SPRD.ONxxxUP'
- Online upload requires a header and trailer record to be present in the file
- The online upload requires a sequence number which increments by 1 each time an upload is successfully read. The next number to be used can be viewed on T.BCH
- The online upload is limited to 500 entries per upload.
- Online upload needs to be released via RPROC FINONL, email address can be specified for a reply email
- The online upload once uploaded needs to be released on RPROC
- COMPR error for failed records can be viewed with the code FION

### 4.3 Batch Uploads

- Batch dataset 'BBAP.SPRD.DlxxxUP'
- Batch upload does not require header or trailer records
- The batch upload has no restriction on the number of records.

### 4.4 E-mail Address Set up

Members will need to capture relevant email addresses to which the responses are to be mailed. This would be done via the function T.EML against the process types of FINUPL.

A maximum of 100 e-mail addresses can be set up. The email address field on T.EML is limited to 55 characters. Each new e-mail address would require a new sequence number (i.e. SEQ of 001, the prefix of FINUPL, displayed below).

```

OPTN: T.EML          BCS/A: GENERAL TABLE MAINTENANCE          10OCT16  11:09:29
ACTN:                                     AAA      A99
TABLE: E-MAIL ADDRESS          START BROWSING FROM:
                                INCL DEACTIVATED : N
F BRK PROCS /SEQ  DESCRIPTION
_ 01 FINUPL001    XXXX@COMPANY\_EMAIL1.CO.ZA
_ 01 FINUPL002    XXXX@COMPANY\_EMAIL2.CO.ZA
  
```

### 4.5 Error Reporting on COMPR and PCOMPR

A member will be notified via the captured e-mail address whether the upload file was successfully processed or not. If not successful, the reasons per line can be found on COMPR or on the report PCOMPR with error format code of FIUP for the Batch errors and FION for the online errors.

```

OPTN: COMPR          BCS/A: COMMON ERROR ENQUIRY          24MAR17  11:13:53
ACTN:                                     565:NO RECORDS LOADED          JSE      592

ERROR FORMAT CODE: FIUP          ERROR PROCESS DATE: 20170324
FINANCIAL BATCH UPDATE ERRORS

      DATE    REF.NO  USR  TRML    QUANTITY DESCRIPTION

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

OPTN: COMPR	BCS/A: COMMON ERROR ENQUIRY	24MAR17 11:12:09
ACTN:	565:NO RECORDS LOADED	JSE 592
ERROR FORMAT CODE: FION ERROR PROCESS DATE: 20170324		
ONLINE FINANCIAL UPDATE ERRORS		
DATE	REF.NO	USR TRML QUANTITY DESCRIPTION
PF1 HELP PF2 RETURN PF4 MENU PF5 TABLES PF7/8 PAGE PF11 --> PF12 QUIT		

#### 4.6 Response Dataset

In addition to the COMPR notifications, a response dataset will be created for the automated upload file, similar to the dataset name of the upload file.

BBAP.SPRD.UPLOAD.XXX.FINUPL.SYYYYYYY, the 'XXX' depicting the relevant 2 or 3 character broker alpha code and the 'YYYYYYY' depicting the Sequence from the header record with a count and description appended to the end of the record:

Response File Record Layout

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD CODE	9(3)	999	
BRK-CDE	9(3)		Broker Numeric Code
DATE	9(8)		Process Date
TIME	9(6)		Process Time
TOTAL RECORDS	9(9)		Total Number of Records excluding Header and Trailer Records
RECORDS PROCESSED	9(9)		Total Number of Successfully Processed Records
RECORDS REJECTED	9(9)		Total Number of Rejected Records
FILLER	X(653)		Spaces
COUNT OF MSGS FOR LINE	9(3)		Count of number of messages in this line, if multiple errors the line will be repeated for each error
ERROR MESSAGE	X(50)		Error message code

TOTAL LENGTH	700
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Field Name	Data Type and length
CARD-CDE	9(3)

BRK-CDE	9(3)
DATE	9(8)
TIME	9(6)
TOTAL RECORDS	9(9)
RECORDS PROCESSED	9(9)
RECORDS REJECTED	9(9)
FILLER	X(653)
COUNT OF MSGS FOR LINE	9(3)
ERROR MESSAGE	X(50)

If there are no errors then this file will just contain a header and trailer record. If there are errors, it will contain a header, followed by the records that were in error, in the format above, followed by the trailer.

If there are multiple errors on the same record, then there will be multiple lines for that same line, each with its own error description.

The errors below are all possible errors that could occur on the trailer and any one will result in the whole file being rejected.

- RECORD RECEIVED AFTER TRAILER
- DUPLICATE TRAILER RECEIVED
- BRK CDE NOT SAME AS HDR
- TRAILER REC TOTAL NOT SAME AS RECS SENT
- TRAILER NOT RECEIVED

## 4.7 Financial Record Layouts

### 4.7.1 Header Record - Layout 000

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD-CDE	9(3)	000	Spaces
BRK-CDE	9(3)		Brokers numeric code
PROCS-DTE	9(8)		Process date
PROCS-TME	9(6)		Process time
PREFIX	X(1)	S	
SEQUENCE	X(7)		Brokers reference
FILLER	X(145)		Spaces

<b>TOTAL</b>	<b>173</b>
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**Note:** It is recommended that sequence numbers are not reused. No verification is made on sequence numbers with respect to missing sequences. This is solely used to match an upload file to its respective response file. Should a sequence number be repeated by a member in that day then the response file will have the same sequence number in it and overwrite any existing response files with the same sequence number. The broker will only be able upload a

new file once the previous file has been processed, regardless of the sequence number. The file will be overwritten, but all files submitted by the broker will be stored in a GDG cycle for the Broker.

The response file will also be stored in a GDG cycle for the Broker. The number of cycles is still to be determined.

#### 4.7.2 Cash Book Receipts - Layout 063

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD-CDE	9(3)	063	Card code 063
BRK-CDE	9(3)		Brokers numeric code
PROCS-DTE	9(8)		Process date
CHQ-NO	9(7)		Cheque number
CASH-ALPHA	X(2)		Cash alpha code
AGE-DTE	9(8)		Age date
ACC-CDE	9(7)		Account code
BAL-CDE	X(2)		Balance code
DES-CDE	X(2)		Designation code
AMT-SIGN	X	+/-	Sign of transaction amount
AMT	9(13)		Transaction amount - 2 decimals implied
NARRATIVE	X(40)		Transaction narrative
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
GENL-ANAL	X(9)		General analysis code
REG-CDE	9(2)		Nominee company registration code
FILLER	X(62)		Spaces

<b>TOTAL</b>	<b>173</b>		
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Note: To reverse a Cash Receipt a Cash Payment must be processed.

#### 4.7.3 Cash Book Payments - Layout 064

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD-CDE	9(3)	064	Card code 064
BRK-CDE	9(3)		Broker numeric code
PROCS-DTE	9(8)		Process date
CHQ-NO	9(7)		Cheque number
CASH-ALPHA	X(2)		Cash alpha code
AGE-DTE	9(8)		Age date
ACC-CDE	9(7)		Account code
BAL-CDE	X(2)		Balance code

DES-CDE	X(2)		Designation code
AMT-SIGN	X	+/-	Sign of transaction amount
AMT	9(13)		Transaction amount - 2 decimals implied
NARRATIVE	X(40)		Transaction narrative
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
GENL-ANAL	X(9)		General analysis code
REG-CDE	9(2)		Nominee company registration code
PAYEE	X(40)		Payee Name
EL-PAY-IND	X		Electronic Payment indicator
FILLER	X(21)		Spaces

<b>TOTAL</b>	<b>173</b>		
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Note: To reverse a Cash Payment a Cash Receipt must be processed.

#### 4.7.4 Journal Record - Layout 065

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD-CDE	9(3)	065	Card code 065
BRK-CDE	9(3)		Brokers numeric code
PROCS-DTE	9(8)		Process date
AGE-DTE	9(8)		Age date
REF-NO	X(6)		Reference number
ACC-CDE	9(7)		Account code
BAL-CDE	X(2)		Balance code
DES-CDE	X(2)		Designation code
AMT-SIGN	X	+/-	Sign of transaction amount
AMT	9(13)		Transaction amount - 2 decimals implied
NARRATIVE	X(40)		Transaction narrative
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
GENL-ANAL	X(9)		General analysis code
REG-CDE	9(2)		Nominee company registration code
FILLER	X(65)		Spaces

<b>TOTAL</b>	<b>173</b>		
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#### 4.7.5 Trailer Record - Layout 999

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
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CARD CODE	9(3)	999	Trailer Card Code 999
BRK-CDE	9(3)		Broker Numeric Code
PROCS-DTE	9(8)		Process Date
PROCS-TME	9(6)		Process Time
RECS-TOT	9(9)		Number of records (excluding any header and trailer records)
RECS-PROC	9(9)		Number of successfully processed records, populated from BDA
RECS-REJ	9(9)		Number of rejected records, populated from BDA
FILLER	X(126)		Spaces
<b>TOTAL</b>	<b>173</b>		

#### 4.7.6 Editing Data Uploaded

Each record read is checked to make sure that the transaction is for the correct broker, that it has a valid transaction code and that the processing date is the same as the run date.

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