Service Description – Trade Information Requests

Introduction

This document lays out the ASX Trade Information Request service. Specifically, the circumstances for ASX Trade Participants to request trade information and the processes ASX Trading Operations will follow in the provision of the requested information, on a best endeavors basis.

Background

ASX may receive requests from market Participants to provide confirmation of executed trades on the ASX Trade platform. Such requests may arise during a technical issue affecting Participants trading and confirmation systems, where all the existing means of obtaining the information have been exhausted, or an issue affecting the ASX Trade systems that is preventing them from accessing that information via the usual channels.

Whilst every effort is made to ensure the accuracy of any information provided to Participants, there could be circumstances that arise that prevent the ASX from accessing, collating or provisioning that information. Alternatively, there may be an issue affecting the completeness of that information. In these circumstances ASX may confirm that requests for trading information may not be fulfilled, or provided on the basis the information cannot be guaranteed to be complete.

Request process

In the event a participant or ASX system issue is preventing participants from retrieving trade information, a request sent to the ASX Trading Operations team will be actioned on a best endeavors basis if it meets the following criteria:

- The request is received from an Authorised Signatory[1] for the Participant making the request
- The request includes the following information:
    - Trading PID (Participant Identification Number)
    - The date and timeframe that the requested trade information is being requested (e.g. 10am – 2pm, or from the open)
- Any verbal request is followed up with a confirmation via email

If these criteria are met, ASX will provide a file of the requested trade information in a .csv format. The example format and information available in that file is detailed in Appendix A below.

Requests that do not meet the above criteria will not be actioned. It is recommended that Participants regularly review their Authorised Signature list to ensure it is up to date. Each Participant has a Firm Administrator in ASX Online that is authorised to maintain the Participants list.

Any requests for Trade information should be made first by phone, then via follow up email using the below contact details:

[1] The link to the procedure for setting up and maintaining an Authorised Signatory can be found here.

ASX Trading Operations – T: 1300 655 560 (+61 2 9256 0677) E: tradingoperations@asx.com.au

Requests for information will be actioned as soon as practicable, however in the event of an incident affecting the whole market, ASX could be experiencing a large volume of data requests which could lead to extended wait times for information.

Appendix A:

Trade information requests will be provided in a .csv format with the below information included. A copy of a sample file can be provided upon request:

Column	Description	Example
#	Number in report (not from trade system)	1
TimeofTrade	Time of trade execution	10:02:30.027849
Side	Buy/Sell	Buy
ASX Symbol	Security that was traded	CBA
Price	Price traded	95800
Qty	Quantity traded	1000
TradeSlipNumber	The Trade Slip Number	1030001586
Broker	The Broker code with clearer ID	123-1
Signum	Client Information provided by Broker	Test Ref 1
CustInfo	Customer Information	Account 1
OwnOrderID	Executing brokers Order number	65869RC2:00036E26
CounterpartyOrderID	Counterparties order number	682012C2:001F811
ConditionCode	Condition Code (if any)	XT
DealSource	Deal Source	20 20
State	State of the trade	0
tc	Trade Condition	0
ExchOrderType	Exchange Order Type	2
Mkt	Market Code (101, 102, 103 etc.)	101
Cancel	Cancelled trade	Yes

An example of the file that will be provided:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1	#	TimeofTrade	Side	ASX Symbol	Price	Qty	TradeSlipNumber	Broker	Signum	CustInfo	OwnOrderID	CounterpartyOrderID	ConditionCode	DealSource	State	tc	ExchOrderType	Mkt	Cancel
2	1	10:02:30.027849	B	DJW	3260	317	1030001314	123-1	Test Ref 1		68569RC2:00036E26	682012C2:0001F811		20 20	0	0		102	
3	2	10:02:30.027870	B	DJW	3260	2741	1030001315	123-1	Test Ref 1		68569RC2:00036E26	68569RC2:00046247		20 20	0	0		102	
4	3	10:02:30.027886	B	DJW	3260	3000	1030001316	123-1	Test Ref 2		68569RC2:000576D8	68569RC2:00046247		20 20	0	0		102	
5	4	10:02:30.027933	B	DJW	3260	259	1030001317	123-1	Test Ref 2		68569RC2:0004710D	68569RC2:00046247		20 20	0	0		102	
6	5	10:02:30.032469	B	CBA	95800	70	1030001395	123-1	Test Ref 2		68569RC2:000485FF	68569RC2:000389F4		20 20	0	0		102	
7	6	10:02:30.036237	B	CBA	95800	13	1030001460	123-1	Test Ref 1		68569RC2:00036C0B	68569RC2:0004F19A		20 20	0	0		102	
8	7	10:02:30.042238	B	DCC	125	2500	1030001586	123-1	Test Ref 2		68569RC2:0005E8CA	682012C2:0025E87D		20 20	0	0		102	
9	8	10:02:30.042294	B	DCC	125	47500	1030001587	123-1	Test Ref 2		68569RC2:0005E8CA	68569RC2:0001F496		20 20	0	0		102	
10	9	10:02:30.045375	S	EML	3810	932	1030001661	123-1	Test Ref 1		68569RC2:00036CA1	68569RC2:0005789E		20 20	0	0		102	
11	10	10:02:30.045646	B	EML	3810	2498	1030001668	123-1	Test Ref 1		68569RC2:00057A2B	68569RC2:0005EAC3		20 20	0	0		102	
12	11	10:02:30.045895	S	EML	3810	505	1030001675	123-1	Test Ref 1		68569RC2:00036D43	68569RC2:0005DF86		20 20	0	0		102	
13	12	10:02:30.046517	B	EML	3810	222	1030001688	123-1	Test Ref 2		68569RC2:00037133	68569RC2:000570D6		20 20	0	0		102	
14	13	10:02:30.046617	B	EML	3810	1000	1030001689	123-1	Test Ref 2		68569RC2:0005EA5C	68569RC2:000570D6		20 20	0	0		102	
15	14	10:02:30.046766	S	EML	3810	1570	1030001697	123-1	Test Ref 2		68569RC2:00036DCD	68569RC2:0005241D		20 20	0	0		102	