

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 Signatory¹ 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 $\underline{\text{here.}}$



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.

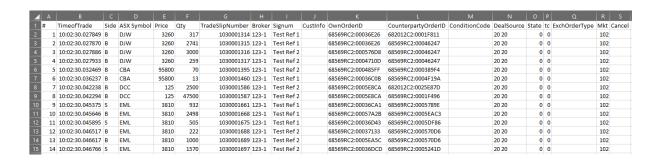
Appendix A:

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 | СВА |
| 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:



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