



ASX ReferencePoint ISO 20022 Real-Time Corporate Actions Manual

The definitive reference data service, direct from the source



ASX Information Services
Information Solutions from the Source

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ASX Ltd

ABN 98 008 624 691

20 Bridge Street, Sydney NSW 2000
PO Box H224
Australia Square NSW 1215

Telephone: +61 (02) 9227 0000
Facsimile: +61 (02) 9227 0859
Email: info@asx.com.au

Date: June 2021
Version: V3

Contents

About this Document	4
Introduction and Service Summary	6
Corporate Action Events Notes	18
All events	18
Dividend	22
Interest Payment	24
Reconstruction (Consolidation/Split)	26
Return of Capital (cash)	28
Bonus issues (including In-Specie)	29
Convertible Note Conversion (Final)	31
Call/ Instalment	32
Priority Issues and Security Purchase Plan (Priority issues)	34
Entitlement offers	36
Warrants Rollover	38
Issuer Code Change or ASX Code Change	40
Buy-back	41
XR Event	43
Company Options Expiry	44
Takeover	46
Merger / Scheme of arrangement	48
Attaching Securities	50
Other CA Event	52
ASX FTP Server Connection Procedure	52
Appendix 1 – Market Deadline Matrix - Dividends	57
Appendix 2 – Option Details Sequencing - Dividends	60
Appendix 3 – List of Usage Guidelines	63
Appendix 4 – Special Characters in ISO Message Output	68
ASX Contact Details	69
Content & System Support	69
ASX Information Services	70

About this Document

Document Name	Manual
Version Number	3.0 June 2021
Purpose	<p>This document describes the ReferencePoint ISO 20022 Real Time Corporate Actions notification service format provided to customers by ASX Information Services and the ways in which the service may be accessed, including via SWIFTNet and over ASX's network services such as ASX Net and the ASX CoLo.</p> <p>This document should be used in conjunction with the Corporate Action Event Notification Usage Guidelines as published by ASX on the SWIFT MyStandards website. (This is available to a closer user group)</p>
Contact	<p>Should you wish to contact ASX to discuss any aspects of this service, please contact ASX Information Services:</p> <p>Telephone +612 9227 0422 Email Information.Services@asx.com.au Web www.asx.com.au</p>

Document Version Information

Version	Date	Author
Draft_1	18 July 2013	Edwina Glinoga
Draft_2	02 Aug 2013	Perry Carbonell, Frank Hoer, Karen Webb
Draft_3	13 Aug 2013	Edwina Glinoga
Draft_4	30 Aug 2013	Edwina Glinoga
Draft 5	10 Sep 2013	Karen Webb
Draft 7	Nov 2013	Karen Webb
Draft 8	Feb 2014	Karen Webb
Draft 9	May 2014	Karen Webb, Edwina Glinoga
Draft 1.0	July 2014	Karen Webb, Edwina Glinoga
V1.1	Sep 2014	Edwina Glinoga
V1.2	Feb 2015	Karen Webb/Edwina Glinoga
V2.1	Oct 2019	Houda Harb / Colm Mulryan
V2.2	Nov 2019	Colm Mulryan
V2.3	Nov 2019	Karen Webb/Colm Mulryan
V2.4	Mar 2020	Houda Harb
V2.5	July 2020	Houda Harb

V3.0	June 2021	Houda Harb
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Introduction and Service Summary

Introduction

ASX launched the ISO 20022 near real time corporate action notification service – ReferencePoint ISO20022 Corporate Actions, on 22 September 2014.

This evolution of the ReferencePoint Corporate Action service, now pushing into the real-time space, with dissemination via ASX Net, ASX CoLo and SWIFTNet networks was the result of an industry consultation program. The base ISO 20022 standard was refined for the service accordingly in recognition of:

- the centralised delivery of the content by ASX as the source of truth for the four (4) initial corporate actions
- Industry requests for a broader set of data, and for that data to be sourced in a standardised way from issuers
- and now being required for CHESS Replacement

ASX has now expanded the service to include the remaining corporate action structured announcements for events supported by ASX, effective July 2020, with an additional event (OTHR) added in June 2021.

Corporate Event Service Definition

ReferencePoint ISO 20022 Real-Time Corporate Actions delivers key parameters of corporate action notifications as announced by issuers and for bidders on securities¹ (equities, ETFs and interest rate). The information is delivered in ISO 20022 format over ASX Net, via the ASX Australian Liquidity Centre CoLo and via SWIFTNet. The dissemination of these notifications will occur during ASX announcement release periods - between 08:30 AEST/ADST to 20:30 AEST/ADST [with the exception of those lodgements made by ASZ/NZX (New Zealand Stock Exchange) dual listed entities which may be released any time after 07:30 AEST/ADST.]

Listed below are the corporate action events included in the first delivery phase of the ReferencePoint ISO 20022 Real-Time Corporate Actions service.

- Dividend
- Interest Payment
- Reconstruction (Consolidation, Split)
- Return of Capital - Cash

The July 2020 release of the ReferencePoint ISO 20022 Real-Time Corporate Actions service includes updates to the notifications for the phase 1 events (refer to the Usage Guidelines published on SWIFT MyStandards), in addition to the following events:

- Bonus issues (including in-specie)
- Calls
- Convertible Note Conversion (Final)
- Equal Access Buybacks
- Name/Code change (class change)

¹ The inclusion of warrant and structured product events is excluded from Phase 1, however it is configurable. If all subscribers agree to include these products ASX will change configured output. The Phase 2 release will include warrants.

- Priority Issues
- Non-Renounceable issues (including accelerated offers)
- Company Option Conversion (Final)
- Renounceable issues (including accelerated offers)
- Security Purchase Plans
- Takeover
- Warrant rollovers
- Mergers
- XR

Note:

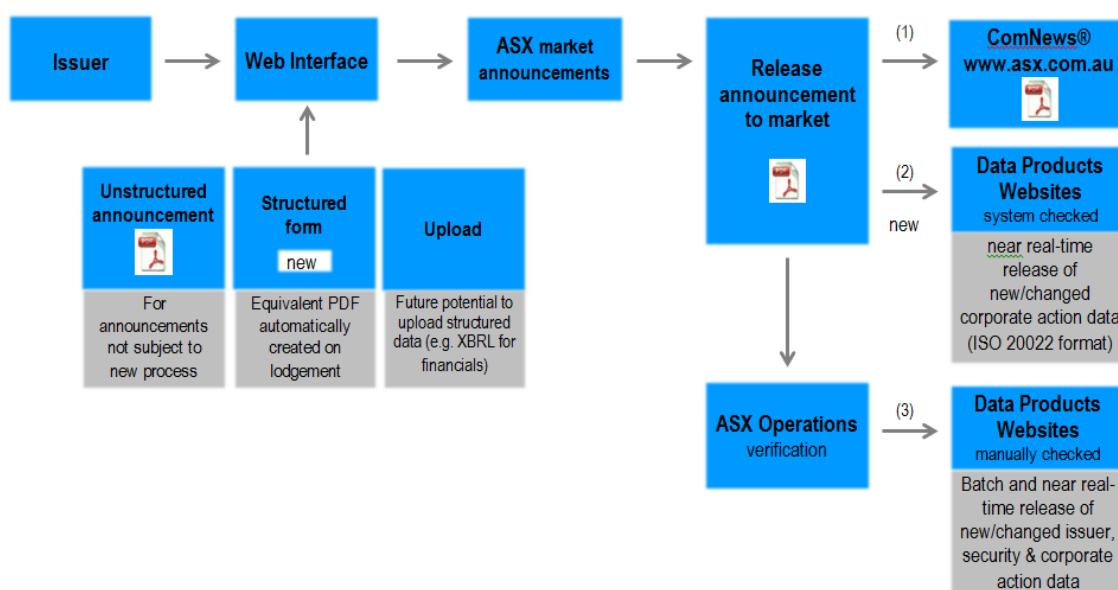
Separate cancellation notifications will be disseminated for cancelled corporate actions.

A further release was implemented in June 2021 to include one additional corporate action event – known as Reinvestment offers (OTHR).

Service Delivery

Near Real Time Service

ASX has introduced a new process for the announcement of certain corporate action events. The announcement process for ASX listed issuers and their corporate action events is mandated via structured Appendices to the ASX Listing Rules. Should an Appendix to the ASX Listing Rules be identified as an “online form”, the issuer is obliged to make that announcement by completing and lodging an online form via ASX’s online announcement service, ASX Online. Once an issuer completes an online form for announcement submission, a PDF announcement will be generated by ASX and released to the market. The introduction of the online forms has made it possible for ASX to capture specific event data in a structured format and release it to the market as soon as the equivalent PDF announcement is released. This structured data forms the content of corporate action event records and notifications.



The ISO 20022 service event notifications to be disseminated in real time are those announcements lodged by an issuer using an online form.

If an announcement is lodged in an unstructured PDF format by the issuer, event notifications (and updated information) will be disseminated in the ISO 20022 service as soon as the required information is captured by ASX's issuer services operations team.

Product Availability and Access

The ReferencePoint ISO 20022 Real-Time Corporate Action service is available for customers to connect to over ASX Net, via the ASX Australian Liquidity Centre (ALC) CoLo or via SWIFTNet.

Information on access to this service via ASX Net and ALC is provided later in this document.

Information on access to this service via SWIFTNet and the associated requirements is provided in a separate document. To access that document, please register via email to Information.Services@asx.com.au indicating your interest in the ReferencePoint ISO 20022 Real-Time Corporate Action service via SWIFTNet by providing your name, company name and your contact details (phone and email address). ASX will require certain information prior to activation of the service, including the subscriber's Distinguished Name (DN) (one for test (optional) one for live).

Reverse Billing of SWIFTNet Service Users

As part of the provision of the SWIFTNet service, users will be invoiced any message related fees directly by SWIFT. SWIFT will utilise its reverse billing feature set-up for each subscribing user of the service.

Access via ASX Net and ALC

Customers that opt to use a distributed fibre ASX Net connection or an ALC service connection to access the ISO 20022 service, will be able to access the service on an FTP server. Access to this FTP server is also available at the most basic level via an ASX internet VPN (iVPN).

The ASX FTP server will provide access to corporate action data as XML files, and will retain data for a rolling period of 7 Business Days. These files will be located in discrete sub-directories and will cover the current Business Day and the previous 6 Business Days. Data will be 'rolled over' during a period between 23:00 hours AEST/ADST and 01:00 hours AEST / ADST.

Details for logging onto the ISO 20022 Corporate Action service via the FTP Server are explained in [ASX FTP Server Connection Procedure](#).

ISO 20022 Notification specifications and versions

The specifications for each corporate action event notification type are defined in usage guidelines published on SWIFT MyStandards. The usage guidelines are available in the ASX Community – ASX ReferencePoint ISO 20022 Corporate Actions. Details on how to access the community are available from ASX. The full list of usage guidelines are available in Appendix 3.

Versions:

The pre July 2020 Corporate Action event specifications are published in SWIFT MyStandards in the ASX-AU-CA-Event Notifications collection. These guidelines are based on the ISO 20022 Version 4 schema.

- Corporate Action Notification 002V04 (seev.031.002.04) – For all New and Updated corporate actions
- Corporate Action Cancellation Advice 002V04 (seev.039.002.04) – For all corporate action Cancellations

As part of the service release in July 2020, ASX has migrated the existing usage guidelines to a Version 8 schema, with a usage guideline for each event type. The revised and new usage guidelines are available in SWIFT MyStandards in the ASX_AU_CHS_evnt_STP collection.

- Corporate Action Notification V08 (seev.031.001.08) – For all New and Updated corporate actions
- Corporate Action Cancellation Advice V08 (seev.039.001.08) – For all corporate action Cancellations

The revised and new usage guideline for the Business Application Header (BAH) is available in SWIFT MyStandards in the ASX_AU_CHS_comm_STP collection.

The following table displays the list of pre July 2020 Usage Guidelines (Phase 1) and their corresponding equivalent usage guidelines following the July 2020 release.

Usage Guidelines Collection: ASX-AU-CA-Event Notifications (pre July 2020)	Usage Guidelines Collection: ASX_AU_CHS_evnt_STP collection (post July 2020)	Corporate Action Event Name and Code
CorporateActionNotification002 V04_seev.031.002.04 - Return of Capital	706_001_05_seev_031_001_08	Decrease in Value - Return of Capital (DECR)
CorporateActionNotification002 V04_seev.031.002.04 - Dividend - Combined	703_001_06_seev_031_001_08	Dividend - Cash Dividend (DVCA)
	707_001_06_seev_031_001_08	Dividend - Dividend Option (DVOP)
	708_001_06_seev_031_001_08	Dividend - Dividend Reinvestment (DRIP)
	721_001_06_seev_031_001_08	Dividend - Scrip Dividend (DVSC)
CorporateActionNotification002 V04_seev.031.002.04 - Interest	712_001_04_seev_031_001_08	Interest Payment (INTR)
	713_001_05_seev_031_001_08	Interest Payment with Principal (PRII)
	722_001_05_seev_031_001_08	Interest Payment - Scrip Dividend (DVSC)
CorporateActionNotification002 V04_seev.031.002.04 - Split and Consolidation	725_001_06_seev_031_001_08	Consolidation - Stock Split (SPLF)
	719_001_07_seev_031_001_08	Consolidation - Reverse Stock Split (SPLR)
ASX-AU-CA-Event Notifications-V1- CorporateActionCancellationAd vice002V04_seev.039.002.04	741_001_03_seev_039_001_08	Cancellation

The following table lists all usage guidelines effective from June 2021, including amendments effective July, August and December 2020, and 5 June 2021:

Usage Guidelines Collection:	Usage Guidelines	Corporate Action Event Name and Event Type Code
ASX_AU_CHS_comm_STP	801_001_02_head_001_001_02	Business Application Header (BAH)
ASX_AU_CHS_evnt_STP	700_001_05_seev_031_001_08	Bonus issues (including In-Specie) - (BONU)
	702_001_04_seev_031_001_08	Warrant Rollover (EXWA)
	703_001_07_seev_031_001_08	Cash Dividend (DVCA)
	704_001_07_seev_031_001_08	Issuer Code Change or ASX Code Change (CHAN)
	705_001_06_seev_031_001_08	Convertible Note Conversion (Final) - (CONV)
	706_001_05_seev_031_001_08	Return of Capital (DECR)
	707_001_07_seev_031_001_08	Dividend with options (DVOP)
	708_001_07_seev_031_001_08	Dividend Reinvestment Plan (DRIP)
	711_001_04_seev_031_001_08	Calls - (PPMT)
	712_001_05_seev_031_001_08	Interest Payment (INTR)

713_001_06_seev_031_001_08	Interest payment with principal (PRII)
715_001_08_seev_031_001_08	Mergers (MRGR)
717_001_08_seev_031_001_08	Priority Issues (PRIO)
718_001_13_seev_031_001_08	Buyback offer (BIDS)
719_001_07_seev_031_001_08	Reconstruction - Reverse stock split - Consolidation (SPLR)
720_001_08_seev_031_001_08	Rights Entitlement (RHTS)
721_001_07_seev_031_001_08	Scrip dividend (DVSC)
722_001_06_seev_031_001_08	Interest scrip dividend (DVSC)
723_001_07_seev_031_001_08	Priority - Security Purchase Plan (PRIO)
725_001_06_seev_031_001_08	Reconstruction - Stock split (SPLF)
726_001_07_seev_031_001_08	Takeover (TEND)
727_001_06_seev_031_001_08	Company Options Expiry (EXWA)
728_001_01_seev_031_001_08	Other CA Event (OTHR)
741_001_04_seev_039_001_08	Cancellation advice
748_001_04_seev_031_001_08	XR event

Service Rules Governing Event Generation

In defining the scope of the Service, ASX has applied generic and corporate event specific business rules to specify what information will and will not be disseminated.

Event Notification Identifiers

New Event notifications will be tagged as “New” [NEWM] within ISO 20022 and additional or changed information relating to a previous message will be tagged as a “Replacement” [REPL].

ASX will provide a value in the data field Previous Notification id <PrvsNtfctnId> to assist with sequentially tracking an event through its life. The ID will be a sequence increment for uniqueness.

For any event where ASX creates a temporary security to manage the corporate action – information regarding details of the temporary security may be included in an update notification.

Corporate Actions Withdrawals / Cancellations

Per ISO 20022, a separate Corporate Action Cancellation Advice will be disseminated to notify the cancellation of a previous published corporate action notification.

A Cancellation Reason Code <CxlRsnCd> will be available to advise the reason for the cancellation of the corporate action.

Valid Values

- Withdrawal [WITH] – Cancellation due to the corporate action being cancelled by the issuer or bidder. This value will be used if the issuer or bidder has advised by announcement that the corporate action is cancelled or withdrawn.
- Processing [PROC] – Cancellation due to a processing error. This value will be used if ASX cancels a corporate action. The cancellation may be due to a technical or processing error.

Event Unique Identifiers

The ASX ISO 20022 product will provide two unique identifiers:

- A proprietary 9 character numeric corporate action event id (per existing ReferencePoint product) (CorporateActionEventIdentification <CorpActnEvtId>); and
- A 14 character global identifier that begins with the Australian country code “AU” (OfficialCorporateActionEventIdentification <OffclCorpActnEvtId>).

Minimum Data Criteria

The minimum data required to create a successful ISO 20022 corporate action event notification is identified in the Usage Guidelines as published on MyStandards for each corporate action type.

Where an online form is in use, the online form will enforce these minimum data requirements. Incomplete forms will not pass to the announcement stage.

Corporate Action Event Completeness Status

ISO 20022 corporate action notifications will be flagged to be complete or incomplete as defined by ASX. The ASX defined completeness rule is based on ASX having received and captured the minimum required data elements to form an announcement notification as contained in the relevant corporate action appendices lodged by the issuer.

Completeness Status	Code Valid Values
INCO	Incomplete
COMP	Complete

Subscribers should note that flagging of a notification as complete as defined by ASX does not preclude further notifications for additional information and/or update to existing information.

ASX Corporate Action Event Completeness Rule

The table below provides the corporate action event completeness rule as defined by ASX.

	Completeness Data Required
Dividend	Ex-Date Record Date Payable Date Dividend Amount [Total Amount: exception to the rule is for Trust Units (Security Type 6) and ETFs (Security Type 7) where amount will not be available in initial announcement].
Interest Rate Payment	Ex-Date Record Date Payable Date
Capital Return	Ex-Date (Effective Date) Record Date Payable Date Capital Return Amount (in Primary Currency)
Reconstruction	Effective Date Record Date Calculation Method Object New ASX Code (New Issuer Code + New Security Code) Terms Multiplier (both Consolidation & Split) Fraction Rounding

	Completeness Data Required
Bonus issues (including In-Specie)	Ex Date Record Date Cash Adjustment Issue Date Calculation Method Fraction Rounding Multiple Rounding Terms Multiplier Terms Divisor
Convertible Note Conversion (Final)	Record Date Cessation Date
Calls	Due Date Call Amount Object security exists Issue Date if object security pari passu = Y
Priority Issues	Primary
	Ex Date Record Date Application Close Date Issue Date Application Money
	Attaching Options
	Ex Date Record Date Application Close Date Issue Date
	Converting (securities that can be exercised to participate in the offer)
	Ex Date Record Date Application Close Date Issue Date Converting Security
Priority – Security Purchase Plan	Record Date
Rights Entitlement – Renounceable	Primary
	Ex Date Record Date Application Close Date Renunciation Close Date Cash Adjustment Issue Date Application Money <ul style="list-style-type: none"> • If the Application Currency is not in AUD, then the Issuer AUD Equivalent AUD Application Capital is not Null OR Issuer AUD Equivalent AUD Application Premium is not Null OR Issuer AUD Equivalent AUD Application Discount is not Null OR

	<p>the ASX AUD Equivalent AUD Application Capital is not Null OR ASX AUD Equivalent AUD Application Premium is not Null OR ASX AUD Equivalent AUD Application Discount is not Null</p> <ul style="list-style-type: none"> If the Application Currency is in AUD <p>the Issuer AUD Equivalent AUD Application Capital is not Null OR Issuer AUD Equivalent AUD Application Premium is not Null OR Issuer AUD Equivalent AUD Application Discount is not Null</p> <p>Calculation Method Fraction Rounding Multiple Rounding Terms Multiplier Terms Divisor</p>
	<p>Attaching Options</p>
	<p>Ex Date Record Date Application Close Date Cash Adjustment Issue Date Calculation Method Fraction Rounding Multiple Rounding Terms Multiplier Terms Divisor</p>
	<p>Converting (securities that can be exercised to participate in the offer)</p>
	<p>Ex Date Record Date Application Close Date Renunciation Close Date Cash Adjustment Issue Date Converting Security</p>
<p>Rights Entitlement – Non - Renounceable</p>	<p>Primary</p> <p>Ex Date Record Date Application Close Date Cash Adjustment Issue Date Application Money (Capital, Premium or Discount)</p> <ul style="list-style-type: none"> If the Application Currency is not in AUD, then <p>the Issuer AUD Equivalent AUD Application Capital is not Null OR Issuer AUD Equivalent AUD Application Premium is not Null OR Issuer AUD Equivalent AUD Application Discount is not Null</p> <p>OR</p> <p>the ASX AUD Equivalent AUD Application Capital is not Null OR ASX AUD Equivalent AUD Application Premium is not Null OR ASX AUD Equivalent AUD</p>

	<p>Application Discount is not Null</p> <ul style="list-style-type: none"> If the Application Currency is in AUD <p>the Issuer AUD Equivalent AUD Application Capital is not Null OR Issuer AUD Equivalent AUD Application Premium is not Null OR Issuer AUD Equivalent AUD Application Discount is not Null</p> <p>Calculation Method Fraction Rounding Multiple Rounding Terms Multiplier Terms Divisor</p>
	Attaching Options
	<p>Ex Date Record Date Application Close Date Cash Adjustment Issue Date Calculation Method Fraction Rounding Multiple Rounding Terms Multiplier Terms Divisor</p>
	Converting (securities that can be exercised to participate in the offer)
	<p>Ex Date Record Date Application Close Date Cash Adjustment Issue Date Converting Security</p>
Warrants Rollover	<p>Object Security present (Recon ASX CODE) Record Date Effective Date Calculation Method Terms Multiplier Terms Divisor Fraction Rounding Multiple Rounding Entitlement Multiple</p>
Issuer Name Change, Issuer Code Change or ASX Code Change	<p>Effective Date</p>
Buy-back Notification	<p>Ex Date Record Date BuyBack Close Date (in Core this is Application Close Date)</p>
Company Options Expiry	<p>Record Date Cessation Date</p>

Takeover	Bidder Entity Name (can be unlisted) Takeover Type (i.e. Off Market/On-Market/Proportional) Offer Open Date Offer Close Date If Cash Consideration Component, Consideration Amount Declared Currency Declared Currency If Scrip Consideration Component, Consideration Security or Unlisted Security Number of New Securities Per Target Security Fraction Rounding
Merger / Scheme of arrangement	Bidder Entity Name (can be unlisted) Status of Scheme (i.e. Conditional/Halt/Lapsed/Unconditional/Withdrawn/Closed) Effective Date Record Date If Cash Consideration Component, Consideration Amount Declared Currency Declared Currency Payable Date-Cash Consideration If Scrip Consideration Component, Consideration Security or Unlisted Security Number of New Securities Per Target Security Fraction Rounding Issue Date-Scrip Consideration
Other CA Event	Record Date Offer Open Date Offer Close Date

The minimum data requirements for “New” ISO 20022 corporate action events to be generated and disseminated in the ISO 20022 service are the same as the ASX defined completeness rules. As such, these corporate action events will be tagged as “complete” from the initial message dissemination.

For some Reconstruction corporate action events lodged via ASX Online forms, these will initially be disseminated as “incomplete” because the temporary security code data field value will not be available at that stage. This is an ASX manual data entry value. An update message with a “complete” tag will be disseminated once the temporary security code data field value is updated by the ASX Operations team.

Exclusions

ASX will not provide corporate action notifications where an issuer’s announcement indicates a “proposed”, “projected”, “forecast” or “intended” declaration.

For example, a dividend corporate action notification will not be generated in the following two scenarios as they do not qualify or constitute as an actual dividend declaration under this business rule:

1. “We expect to declare a dividend by the end of this reporting period.”
2. “Declaration of a dividend is projected in the second half of the reporting period.”

The above statements may be included in unstructured PDF announcements by issuers. Lodgement via an Online form requires certainty that an event will proceed. The inclusion of information in the online form with regard to conditionality of the event (e.g. may be subject to shareholder approval) provides further transparency. In either case, ASX will only capture the event information if the event is certain or dependent upon a condition.

Corporate Action Events Notes

This section provides information regarding assumptions that ASX has made to populate certain fields in the ISO 20022 corporate action notifications.

All events

Each corporate action event includes data items where one of a number of available values may be selected by the issuer, or assigned by ASX. The value will be disseminated in the relevant data field. Some of the valid values in the list below are ISO standard otherwise ASX has created propriety codes.

Item	Valid Value	Definition	Sample Path
All: Condition Types	S C A B F D T O	Security holder approval Court approval Lodgement of court order with ASIC ACCC approval FIRB approval ASIC Class Order ATO Ruling Other	/Document/CorpActnNtfctn/AddtlInf/InfConds
All: Condition	CDCM CDTS CMET CNMT CWVD CNAV DNNDT DTST ESTM ACTL	Condition Comments Conditions Conditions Met Conditions Not Met Conditions Waived Not Available Determination Date Date Status Estimated Actual	/Document/CorpActnNtfctn/AddtlInf/InfConds
All: Fractions	RDUP RDDN CINL STAN OVER	Round Up: Fractions rounded up to the next whole number Round Down: Fractions disregarded / rounded down to nearest whole number Cash in Lieu of Fractions: Fractions sold and proceeds distributed Round to Nearest: Fractions of 0.5 or more rounded up Round Over: Fractions over 0.5 rounded up	/Document/CorpActnNtfctn/CorpActnOptnDtIs /SciesMvmntDtIs/FrctnDspstrn/Prtry/Id
ALL: Comments	GNRL UPDT CANC	General comments Update comments Cancellation comments (applicable to Cancellation only)	/Document/CorpActnNtfctn/AddtlInf/AddtlTxt/ AddtlInf
Dividend: option (to identify if ordinary, special, scrip etc)	DVCA SPEC DVSC NZDD DRIP BONU PLAN	Ordinary cash Special dividend/distribution Scrip NZD supplementary dividend Dividend reinvestment Bonus Plan Other Plan	/Document/CorpActnNtfctn/CorpActnOptnDtIs /AddtlInf/NrrtvVrsn/AddtlInf

Item	Valid Value	Definition	Sample Path
Dividend (Dividend Type Code):	INTE FINL QTLY MTLY REIN SPEC SPRE	Interim/6-Monthly Final/Once a year Quarterly Monthly Reinvestment Special Special Dividend with Investment	/Document/CorpActnNtfctn/CorpActnDtIs/Dvd dTp/Prtry/Id
Dividend: DRP /BSP types	SUAP RETA FULL RETA FULL	DRP Plan Type: DRP subject to shareholder approval DRP for retail shareholders only Full DRP offered BSP Plan Type: BSP for retail shareholders only Full BSP	/Document/CorpActnNtfctn/ASXevnt708SD1/ DtsAndAmtsDtIs/RinvstmtPlanTp
Interest Payment: 128F*	FNEX NTFE UKWN	128F Foreign Exempt: Interest payment are not taxable to non-residents Not 128F Foreign Exempt: Interest payment is taxable to non-residents 128F Exemption Status Unknown: Issuer has not advised status	/Document/CorpActnNtfctn/CorpActnOptnDtIs /AddtlInf/TaxtnCnds/AddtlInf
All: Calculation method	DFRD DFRM MFRD	Divide first, round after divide Divide first, round after multiply Multiply first, round after divide	
All: Adjustment Type	AMDA BNDA CCDA CLDA CODA CRDA DVDA INDA NRDA PRDA RRDA SSDA	Application Money Bonus ASX Code Change Call Consolidation Capital Return Dividend Interest Payable Rights Entitlement (Non-Renounceable) Priority Rights Entitlement (Renounceable) Share Split	
All: Corporate Action Sub- type Code	AOPT BNUS EXRE EXPR NRNI PRNP RENI ROLL SHPP	Attaching Option Bonus Ex Right of Exercise Expiry Non-Renounceable Issue Priority Issue (Non Pro-Rata) Renounceable Issue Rollover Security Purchase Plan	/Document/CorpActnNtfctn/ASXevnt*SD1/Ent IEvntDtIs/CASbTp
Issuer Code Change/ASX Code Change: Type of Change	CLSC INCC NAMC	Class Change Issuer Code and Name Change Issuer Name Change Only	/CorpActnNtfctn/CorpActnDtIs/ChngTp/Prtry/I d

Item	Valid Value	Definition	Sample Path
Call/ Instalment: Incorporate Status	LLBC NLBC ULBC	Limited Liability No Liability Unlimited Liability	/Document/CorpActnNtfctn/ASXevnt711SD1/ CallFrthrDtls/IncrprtnStts
Call/ Instalment: Occurrence Type	INTE FINL	Interim Final	/Document/CorpActnNtfctn/CorpActnDtls/Ocr ncTp
Rights- Entitlement offers: Renounceabl e Entitlement Status Type	NREN RENO	Non-Renounceable (non-tradeable) Renounceable (tradeable)	/Document/CorpActnNtfctn/CorpActnDtls/Rnn cblEntitlmntStsTp
Rights- Entitlement offers: Accelerated Event Code	AREO JMBO PTRO RPDS SREO	Accelerated Renounceable Entitlement Offer An accelerated institutional non- renounceable (entitlement) issue followed by a retail entitlement issue. Pro-rata Accelerated Institutional Tradeable Retail renounceable Entitlement Offer Renounceable Accelerated Pro-Rata Issue with Dual book-build Structure Simultaneous Accelerated Renounceable Entitlements Offer	/Document/CorpActnNtfctn/ASXevnt720SD1/ EntlEvntDtls/RhtsOfrrDtls/AcltrdEvntCd
Takeover Types	ONMK OFFM PRPL	On Market Off Market Proportional	/Document/CorpActnNtfctn/CorpActnDtls/Offe rTp/Prtry/ld
Takeover / Merger Status	COND HALT LAPS UCON WITH CLOS	Conditional Halt Lapsed Unconditional Withdrawn Close	/Document/CorpActnNtfctn/CorpActnDtls/Evt Stag/Prtry/ld
Takeover / Merger ASX Listed/ Quoted Indicator	ASXL FUTL NOTL	ASX Listed Future ASX Listing Not ASX Listed	Takeover /Document/CorpActnNtfctn/ASXevnt726SD1/ TkvrEvntDtls/ASXLstdIndctr Merger /Document/CorpActnNtfctn/ASXevnt715SD1/ TkvrEvntDtls/ASXLstdIndctr
Buyback Types	EQAC ONMK	Equal Access On Market	/Document/CorpActnNtfctn/CorpActnDtls/Offe rTp/Prtry/ld

*For financial products which are likely to give rise to a payment to which s128F of the Income Tax Assessment Act applies, ASX has created an “s128F flag”. In brief, s128F provides that tax need not be withheld from payments to holders not resident in Australia provided that certain conditions are met. The flag is applied to financial products generally classified by ASX as interest payment products. ASX obtains advice from the issuer of the relevant financial products as a basis for the application of this flag, with valid values per the table above. Where ASX has not had advice from an issuer about withholding tax status in respect to payments for a particular financial product, it will apply the indicator “Status Unknown”. The status “Not Applicable” is for financial products to which s128F of the ITAA does not apply. It is possible that withholding tax is not required for payments to holders not resident in Australia in respect of these financial products, but for reasons other than the application of s128F. Two common reasons for the application of this status to financial products are: that the issuer is foreign and therefore not subject to the

ITAA; or that the financial products are non-share equity interests and therefore not “interest payments” under s128F. Issuers whose securities are classified “Not Applicable” with respect to the s128F flag have been advised to provide details in the “further information” comments of interest payment announcements.

Boolean Format:

For data items where the answer is Yes or No, ASX will adopt the following convention:

SWIFT: follows Boolean format where definition allows:
True = Yes = 1
False = No = 0

Dividend

A usage guideline has been documented for each type of dividend event. Refer to the Usage Guidelines for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event and event processing types for dividend notifications based on certain information advised by the issuer and captured in the corporate action record. The decision matrix is provided below:

Condition			Action	
Dividend amount is scrip only? ¹	DRP/BSP/Other Plan is offered ² (Any One or multiple Plan)	DRP/BSP/other Plan shares new issue ³	Set the default Event Type value	Set the default Event Processing Type value
Y	N	n.a.	DVSC	DISN
N	Y	Y	DVOP	DISN
N	Y	N	DRIP	DISN
N	N	n.a.	DVCA	DISN
¹ The total dividend amount consists of scrip dividend only, i.e. the breakdown amount does not include cash, special or supplementary components. ² The dividend has associated DRP / BSP / Other Plan ³ The associated DRP/BSP/Other Plan involves the issue of new shares				

- Definitions of the relevant corporate action event types are provided below for information:

Code	Name	ISO Definition
DRIP	DividendReinvestment	Event is a dividend payment type where cash dividend is rolled over into additional shares in the issuing company.
DVCA	CashDividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency.
DVOP	DividendOption	Event is a distribution of a dividend to shareholders with the choice of payment method. The shareholder must choose the form of payment - stock, cash, or both.
DVSC	ScripDividend	Scrip Dividend/Payment. Dividend or interest paid in the form of scrip.

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
DISN	The holder of the relevant security on a certain date, will receive a benefit without giving up the underlying security.

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for dividend notifications based on certain information advised by the issuer and captured in the corporate action record. The decision matrix is provided below:

Condition			Action
Corporate Action Event Type	Entity offers all +security holders a documented plan under which they may apply to receive their payment in a foreign currency	Dividend has associated DRP and/or BSP and/or Other Plan	Default Value
DVCA	Y	N	CHOS
DVCA	N	N	MAND
DVSC	N	N	MAND
DVOP	Y	Y	CHOS
DVOP	N	Y	CHOS
DRIP	Y	Y	CHOS
DRIP	N	Y	CHOS

ISO Definitions of the relevant mandatory/voluntary event types are provided below for information:

Code	Name	ISO Definition
MAND	Mandatory	Participation in CA event is mandatory. Further instructions from the account owner are not required. Used if DVCA and not paid in any other currencies. <i>E.g. The security holder has no option or ability to take action or influence the timing of the event.</i>
CHOS	MandatoryWithOptions	Participation in the corporate action is mandatory and further instructions from the account owner are required unless a default option has been specified. Used if dividend is payable in different currencies.

Market Deadline Date

Refer to Appendix 1 for the explanation of logic applied by ASX for the provision of the Market Deadline Date. This date is provided in the following field in each Option:

/Document/CorpActnNtfctn/CorpActnOptnDtls/DtDtls/MktDdlIn

Sequencing of Options

Refer to Appendix 2 for the explanation of logic applied by ASX for sequencing of more than 1 Option in one notification.

Interest Payment

A usage guideline has been documented for each type of interest payment event. Refer to the Usage Guidelines published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event types and event processing types for interest payment notifications based on certain information advised by the issuer and captured in the corporate action record.

Condition			Action	
Interest Payment is in cash only	Interest Payment is payable in form of scrip rather than cash	Interest Payment also has principal component	Set the default Corporate Action Event Type value	Set the default Event Processing Type value
Y	N	N	INTR	DISN
Y	N	Y	PRII	DISN
N	Y	N	DVSC	DISN

- Definitions of the relevant corporate action event types are provided below for information:

Code	Name	ISO Definition
INTR	InterestPayment	Regular interest payment distributed to holders of an interest bearing asset.
DVSC	ScripDividend	Scrip Dividend/Payment. Dividend or interest paid in the form of scrip.
PRII	InterestPaymentWithPrincipal	An event which consists of two components, the decrease of the amortized value of a pool factor security and an interest payment.

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
DISN	The holder of the relevant security on a certain date, will receive a benefit without giving up the underlying security.

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for interest payment notifications based on certain information advised by the issuer and captured in the corporate action record.

Condition		Action
Corporate Action Event Type	Entity offers all +security holders a documented plan under which they may apply to receive their payment in a foreign currency	Default Value
INTR / PRII	N	MAND
INTR / PRII	Y	CHOS
DVSC	N	MAND

Tax Information:

Interest Payment events will include an indication of whether the security is classified as 128F tax exempt or not. This information is sourced from the Issuer once and included in each notification.

It is mapped to: /Document/CorpActnNfctn/CorpActnOptnDtls/AddtlInf/TaxtnConds/AddtlInf

Valid values as below.

Value	Description
FNEX	128F Exempt
NTFE	Not 128F Exempt
UKWN	128F Status Not Advised

Reconstruction (Consolidation/Split)

A usage guideline has been documented for each of consolidation or split event. Refer to the Usage Guidelines published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for consolidation notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
SPLR	ReverseStockSplit	Event is a change in nominal value, a consolidation. It is a decrease in a corporation's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the reverse split. Stock price and nominal value are increased accordingly.	REOR

ASX will assume the following corporate action event type and event processing type for split notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
SPLF	StockSplit	Event is a change in nominal value, a subdivision. It is an increase in a corporation's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. Stock price and nominal value are reduced accordingly.	REOR

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	The corporate action results in a reorganisation

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for consolidation or split notifications:

- MAND - Mandatory

Reorganisation Timetable and Details:

Below is an example of how a security movement is represented through each of the 4 iterations IT and their key date's reference for a reorganisation. In this example:

- XYZ is pre-re-organisation; hence in IT1, the date will indicate the "Last Trading Date" under the XYZ.

- In IT2, the date will indicate that XYZ will be trading under the ASX code of XYZDA.
- In IT3, the date will indicate the “Last Trading Date” of XYZDA before going back to trading under the ASX code XYZ.
- In IT4, the date will indicate that XYZ will resume normal trading post-re-organisation.

In the output file the <SciesMvmntDtls> data block is repeated to represent each of the iterations

	XYZ	XYZDA	XYZ	XYZ
Iterations	IT1	IT2	IT3	IT4
Form Questions	3.3	3.4	3.7	3.8
SWIFT Elements	A	B	C	D

The Rate Details in the first 2 iterations (A and B) are TERMS_MULTIPLIER (Q1):TERMS_DIVISOR (Q2). The Rate Details for last 2 iterations (C and D) are default to 1 (Q1):1 (Q2)

Where A, C are mapped to the element path in each of their iteration accordingly as follows:

</Document/CorpActnNtfctn/CorpActnOptnDtls/SciesMvmntDtls/DtDtls/LastTradgDt/Dt>

Likewise for B, D it is mapped to:

</Document/CorpActnNtfctn/CorpActnOptnDtls/SciesMvmntDtls/DtDtls/AvlblDt/Dt>

“3.3_Last day for trading in the pre-re-organised securities”

</Document/CorpActnNtfctn/CorpActnOptnDtls/SciesMvmntDtls/DtDtls/LastTradgDt/Dt/Dt>

“3.4_Effective Date”

SPLR -

</Document/CorpActnNtfctn/ASXevnt719SD1/DfrrdScrtyDtls/FrstDyTrdngDfrrdSttlmntBs/Dt/Dt>

SPLF -

</Document/CorpActnNtfctn/ASXevnt725SD1/DfrrdScrtyDtls/FrstDyTrdngDfrrdSttlmntBs/Dt/Dt>

“3.7_Issue Date”

</Document/CorpActnNtfctn/CorpActnOptnDtls/SciesMvmntDtls/SctyDtls/IsseDt>

“3.8_Trading starts on a normal T+2 Basis”

</Document/CorpActnNtfctn/CorpActnOptnDtls/SciesMvmntDtls/DtDtls/AvlblDt/Dt/Dt>

Return of Capital (cash)

A single usage guideline has been documented for a cash return of capital event. Refer to the Usage Guidelines published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type:

ASX will assume the following corporate action event type and event processing type for cash return of capital notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
DECR	DecreaseInValue	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.	REOR

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	The corporate action results in a reorganisation

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for cash return of capital notifications:

- MAND - Mandatory

Bonus issues (including In-Specie)

A single usage guideline has been documented for both bonus and bonus in-specie event. Refer to the Usage Guidelines published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

ASX may also disseminate additional linked messages to the Bonus Issue (excluding In-Specie) for Attaching Security and XR Event. Please refer to the details in this manual for these events.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for bonus notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
BONU	Bonus or capitalisation issue	Security holders receive additional assets free of payment from the issuer, in proportion to their holding.	DISN

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
DISN	The holder of the relevant security on a certain date, will receive a benefit without giving up the underlying security.

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for bonus issues (including in-specie) notifications:

- MAND - Mandatory

Option Type:

The **Option Type** specifies the corporate action options available to the account owner. For bonus (including in-specie) this is SECU

Code	ISO Definition
SECU	Securities - This option will provide a SECURITIES distribution to holders.

Users can typically determine whether the event is bonus or in-specie by the resulting security code.

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
SECU	Credit	Final resultant security credited to eligible holders.
	Credit	Attaching securities (if applicable) credited to eligible holders. Separate security movement blocks will be present for each attaching security in cases of multiple attaching securities.

New Issuer Details:

Issuer Details of the Object Security in the case of an In-Specie Bonus will be mapped to:
/Document/CorpActnNtfctn/ASXevnt700SD1/NwlsrDtls

Convertible Note Conversion (Final)

A single usage guideline has been documented for a convertible note conversion event. This event will only be captured and disseminated for a final conversion. Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for convertible note conversion notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
CONV	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.	REOR

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	The corporate action results in a reorganisation

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for convertible note conversion notifications:

- MAND - Mandatory

Option Type:

The **Option Type** specifies the corporate action options available to the account owner. For convertible note conversion this is SECU

Code	ISO Definition
SECU	Securities - This option will provide a SECURITIES distribution to holders.

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
SECU	Debit	Underlying security debited from holders.
	Credit	Final resultant security credited to holders.

Call/ Instalment

A single usage guideline has been documented for a call/ instalment event. Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for call/instalment notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
PPMT	Instalment, Call	An instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.	REOR

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	The corporate action results in a reorganisation

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for call notifications based on certain information advised by the issuer and captured in the corporate action record.

Condition		Action
Corporate Action Event Type	Incorporation Status	Default Value
PPMT	Limited Liability	MAND
PPMT	No Liability	CHOS

Option Type:

The **Option Type** specifies the corporate action options available to the account owner. For calls this can be LAPS or SECU

Code	ISO Definition
LAPS	Lapse - This option will allow the event or the entitled security to expire (i.e. holder not to make the payment and forfeit the security). This option will be present only when Mandatory/Voluntary Event Type is CHOS.
SECU	Securities - This option will provide a SECURITIES distribution to holders (i.e. the holder will make the payment).

Call Type:

The **Call Type** will be mapped to: /Document/CorpActnNtfctn/CorpActnDtls/OcrncTp/Cd
This can be used to distinguish between a Final Call and an Interim Call as below.

Code	Call Type
FINL	Final Call
INTE	Interim Call

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
SECU	Debit	Underlying security (participating call security) debited from holders.
	Credit	Final resultant security (new call or ordinary fully paid security) credited to holders.
LAPS	Debit	Underlying security (participating call security) debited from holders.

Cash Movement Details:

The cash movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
SECU	Debit	Call amount debited from holders.
LAPS	NA	No cash movement.

Priority Issues and Security Purchase Plan (Priority issues)

A usage guideline has been documented for each of Priority Issue and Security Purchase Plan event. Refer to the Usage Guidelines published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

ASX may also disseminate additional linked messages to the Priority issue or Security Purchase Plan for Attaching Security and XR Event (XR Event not applicable to Security Purchase Plan). Please refer to the details in this manual for these events.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for priority notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
PRIO	Priority Issue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.	DISN

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
DISN	The holder of the relevant security on a certain date, will receive a benefit without giving up the underlying security.

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for priority notifications:

- VOLU - Voluntary

Option Type:

The **Option Type** specifies the corporate action options available to the account owner. For priority this can be NOAC or SECU

Code	ISO Definition
NOAC	No Action = This option is for the account owner not to take part in the event.
SECU	Securities = This option will provide a SECURITIES distribution to holders.

Corporate Action Sub Type:

The Corporate Action Sub Type will be mapped to: /Document/CorpActnNtfctn/* /EntlEvntDts/CASbTp
The Sub Type can be used to distinguish between a Priority Issue and Security Purchase Plan as below.

Code	Description
PRNP	Priority Issue
SHPP	Security Purchase Plan

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
SECU	Credit	Final resultant security credited to participating holders.
	Credit	Attaching securities (if applicable) credited to participating holders. Separate security movement blocks will be present for each attaching security in cases of multiple attaching securities.
NOAC	NA	No security movements.

Cash Movement Details:

The cash movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
SECU	Debit	Issue price (of resultant security) debited from participating holders.
	Debit	Issue price (of attaching securities) debited from participating holders. Separate cash movement blocks will be present for each attaching security in cases of multiple attaching securities.
NOAC	NA	No cash movements.

Entitlement offers

A single usage guideline has been documented for entitlement offers including renounceable, non-renounceable and accelerated offer events. Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

ASX may also disseminate additional linked messages to the Entitlement Issue for Attaching Security and XR Event. Please refer to the details in this manual for these events.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for entitlement issue notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
RHTS	Rights Issue/Subscription Rights/Rights Offer	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.	DISN

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
DISN	The holder of the relevant security on a certain date, will receive a benefit without giving up the underlying security.

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for rights entitlement notifications:

CHOS – Mandatory with options

Option Type:

The **Option Type** specifies the corporate action options available to the account owner. For entitlement offers this can be EXER, LAPS or OVER

Code	ISO Definition
EXER	Exercise - This option will provide holders the ability to EXERCISE their Intermediate Securities.
LAPS	Lapse - This option allows the Intermediate Securities held to laps without any action by the holder.
OVER	Oversubscribe - This option allows holders to subscribe to more SECURITIES than the entitled position enables them to.

Entitlement/Intermediate Security Details:

Details of the Entitlement/Intermediate Security will be mapped to:
/Document/CorpActnNtfctn/IntrmdtScty/SctyId/

Number of New Security (multiplier) will be mapped to:
/Document/CorpActnNtfctn/IntrmdtScty/IntrmdtSciesToUndrlygRatio/Qty1

Per Existing Number of Security (divisor) will be mapped to:
 /Document/CorpActnNtfctn/IntrmdtScty/IntrmdtSctiesToUndrlygRatio/Qty2

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
EXER	Debit	Entitlement/Intermediate security debited from participating holders.
	Credit	Final resultant security credited to participating holders.
	Credit	Attaching securities (if applicable) credited to participating holders. Separate security movement blocks will be present for each attaching security in cases of multiple attaching securities.
OVER	Credit	Final resultant security credited to participating holders.
	Credit	Attaching securities (if applicable) credited to participating holders. Separate security movement blocks will be present for each attaching security in cases of multiple attaching securities.
LAPS	Debit	Entitlement/Intermediate security debited from holders.

Cash Movement Details:

The cash movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
EXER	Debit	Issue price (of resultant security) debited from participating holders.
	Debit	Issue price (of attaching securities) debited from participating holders. Separate cash movement blocks will be present for each attaching security in cases of multiple attaching securities.
OVER	Debit	Issue price (of resultant security) debited from participating holders.
	Debit	Issue price (of attaching securities) debited from participating holders. Separate cash movement blocks will be present for each attaching security in cases of multiple attaching securities.
LAPS	NA	No cash movements.

Warrants Rollover

A single usage guideline has been documented for a Warrant Rollover event. Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for warrant rollover notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
EXWA	Warrants Rollover	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.	REOR

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	Underlying security will be debited and may be replaced by another resource (or resources).

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for priority notifications:

- MAND - Participation in the corporate action is mandatory and further instructions from the account owner are not required.

Option Type:

The **Option Type** specifies the corporate action options available to the account owner. For Warrant Rollover this will be SECU

Code	ISO Definition
SECU	Securities = This option will provide a SECURITIES distribution to holders.

Corporate Action Sub Type:

The Corporate Action Sub Type will be mapped to: /Document/CorpActnNtfctn/*/EntlEvntDts/CASbTp
The Sub Type can be used to distinguish between different EXWA event types.

Code	Description
ROLL	Rollover

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
SECU	Debit	Underlying security debited from holders.
	Credit	Reconstruction security credited to holders.
	Debit	Reconstruction security debited from holders.
	Credit	Final resultant security credited to holders.

Issuer Code Change or ASX Code Change

A single usage guideline has been documented for Issuer Code Change or ASX Code Change event. Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for priority notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
CHAN	Change	Information regarding an Issuer Name Change, Issuer Code Change or ASX Code Change.	GENL

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
GENL	No debit or credit of resources.

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for priority notifications:

- MAND - Participation in CA event is mandatory. Further instructions from the account owner are not required.

Option Type:

The **Option Type** specifies the corporate action options available to the account owner. For Issuer Name Change, Issuer Code Change or ASX Code Change this can be SECU

Code	ISO Definition
SECU	Securities = This option will provide a SECURITIES distribution to holders.

Change Type:

The **Change Type** will be mapped to: /CorpActnNtfctn/CorpActnDtls/ChngTp/Prtry/Id

This Proprietary ID can be used to distinguish each of the following change types as below.

Code	Change Type
INCC	Issuer Name and Code Change
CLSC	Class Change

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
SECU	Debit	Underlying security debited from holders.
	Credit	Final resultant security credited to holders.

Buy-back

A single usage guideline has been documented for a Buy-back event. Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for buy-back notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
BIDS	Buy-back Notification	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.	REOR

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	Underlying security will be debited and may be replaced by another resource (or resources).

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for priority notifications:

- VOLU - Participation in the corporate action is voluntary. If the owner wishes to take part in the event, instructions from the account owner are required.

Option Type:

The **Option Type** specifies the corporate action options available to the account owner. For Buy-back notification this will be CASH.

Code	ISO Definition
CASH	Cash = Option to choose cash.

Offer Type:

The **Offer Type** is mapped to:

/Document/CorpActnNtfctn/CorpActnDtls/OfferTp/Prtry/Id

This Proprietary ID can be used to distinguish between an Equal Access and On Market Buy Back.

Code	Offer Type
EQAC	Equal Access
ONMK	On Market

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
CASH	Debit	Underlying security debited from participating holders.

Cash Movement Details:

The cash movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
CASH	Credit	.Cash payment credited to participating holders.

XR Event

An XR Event can be notified as part of Bonus Issues, Entitlement Offers and Priority Issues to indicate that account owners can participate in these Primary events if they exercise held company options before a certain date. Separate standalone ISO Messages will be published for XR Events in addition to their respective Primary Messages to be consistent with current ReferencePoint Signals. An XR event can be distinguished from its respective Primary Message by referring to its Corporate Action Event Type and Corporate Action Sub Type.

Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for these notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	Definition	
EXWA	XR Event	Informational event for Company Option holders where holders are advised of a specific date by which to exercise their options in order to part-take in a Primary Event such as a Bonus Issue, Rights Issue or Priority Issue.	GENL

- ISO Definition of the Event Processing Type is provided below for information:

Code	ISO Definition
GENL	No debit or credit of resources.

- These notifications will have the following additional attributes.

Attributes	
Corporate Action Subtype	EXRE – Ex Right of Exercise
Linked Corporate Action ID	The Unique Corporate Action ID assigned to the Primary Message
Linkage Type	EXRE – Ex Right of Exercise

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for these notifications:

- CHOS – Participation in the corporate action is mandatory and further instructions from the account owner are required, unless a default option has been specified.

Note that no options will be present as this is only an informational message. The 'CHOS' value is to simply indicate that account owners can either exercise or not exercise Company Options.

Option Type:

No Options will be present as this is only an informational message.

Company Options Expiry

A single usage guideline has been documented for a Company Options Expiry event. This event will be used for final expiry only. Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for Company Options Expiry notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
EXWA	Company Options Expiry	Final conversion event for Company Option holders where holders are advised of a specific period of time in which to exercise the options at the set exercise price near the final expiry date. If the options are not exercised they will lapse.	REOR

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	Underlying security will be debited and may be replaced by another resource (or resources).

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for priority notifications:

- CHOS - Participation in the corporate action is mandatory and further instructions from the account owner are required, unless a default option has been specified.

Option Type:

The **Option Type** specifies the corporate action options available to the account owner. For Company Options Expiry this can be EXER or LAPS.

Code	ISO Definition
EXER	Exercise = This option will provide holders the ability to EXERCISE their Intermediate Securities.
LAPS	Lapse = This option allows the Intermediate Securities held to laps without any action by the holder.

Corporate Action Sub Type:

The Corporate Action Sub Type will be mapped to: /Document/CorpActnNtfctn/*/EntlEvntDts/CASbTp
The Sub Type can be used to distinguish between different EXWA event types.

Code	Description
EXPR	Expiry

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
EXER	Debit	Underlying security debited from participating holders.
	Credit	Final resultant security credited to participating holders.
LAPS	Debit	Underlying security debited from holders.

Takeover

A single usage guideline has been documented for a Takeover event. Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for Takeover notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
TEND	Takeover	An offer made to holders, by a third party, requesting them to sell (tender) or exchange their securities.	REOR

- Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	Underlying security will be debited and may be replaced by another resource (or resources).

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for Takeover notifications:

- CHOS - Participation in the corporate action is mandatory and further instructions from the account owner are required, unless a default option has been specified.
 - VOLU - Participation in the corporate action is voluntary. If the owner wishes to take part in the event, instructions from the account owner are required.
 - MAND - Participation in CA event is mandatory. Further instructions from the account owner are not required.
- The event starts its life as a VOLU event type
 - Once a compulsory acquisition is announced it will change to a CHOS or MAND event type, where;
 - if there are more than one considerations/options available it will be a CHOS
 - if there is only one consideration/option available it will be a MAND

Option Type:

The **Option Type** specifies the corporate action options available to the account owner.

Code	ISO Definition
NOAC	No Action = This Option is for the account owner not to take part in the event.
CASH	Cash = Option to choose cash.
SECU	Securities = This option will provide a SECURITIES distribution to holders.
CASE	Cash and Securities = This option will provide the holders the ability to elect for the takeover consideration as a mix of CASH and SECURITIES.

Offer Type:

The **Offer Type** is mapped to:

/Document/CorpActnNtfctn/CorpActnDtls/OfferTp/Prtry/Id

This Proprietary ID can be used to distinguish between different Takeover types.

Code	Offer Type
ONMK	On Market
OFFM	Equal Access
PRPL	Proportional

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
NOAC	NA	No security movements.
CASH	Debit	Underlying security debited from participating holders.
SECU/CASE	Debit	Underlying security debited from participating holders.
	Credit	Final resultant securities credited to participating holders. Separate security movement blocks will be present for each resultant security in cases of multiple resultant securities.

Cash Movement Details:

The cash movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
NOAC	NA	No cash movements.
CASH/CASE	Credit	Cash payment credited to participating holders.
SECU	NA	No cash movements.

Merger / Scheme of arrangement

A single usage guideline has been documented for a Merger/Scheme of Arrangement event. Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the following corporate action event type and event processing type for Merger/Scheme of Arrangement notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
MRGR	Merger / Scheme of arrangement	Exchange of outstanding securities, initiated by the issuer, which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.	REOR

- ISO Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	Underlying security will be debited and may be replaced by another resource (or resources).

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event types for Merger/Scheme of Arrangement notifications:

- CHOS - Participation in the corporate action is mandatory and further instructions from the account owner are required, unless a default option has been specified.
- MAND – Participation in CA event is mandatory. Further instructions from the account owner are not required. ASX will assume MAND if there is only one available option.
- If there are more than one considerations/options available it will be a CHOS
- If there is only one consideration/option available it will be a MAND

Option Type:

The **Option Type** specifies the corporate action options available to the account owner.

Code	ISO Definition
CASH	Cash = Option to choose cash.
SECU	Securities = This option will provide a SECURITIES distribution to holders.
CASE	Cash and Securities = This option will provide the holders the ability to elect for the merger consideration as a mix of CASH and SECURITIES.

Security Movement Details:

The security movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
CASH	Debit	Underlying security debited from participating holders.
SECU/CASE	Debit	Underlying security debited from participating holders.
	Credit	Final resultant securities credited to participating holders. Separate security movement blocks will be present for each resultant security in cases of multiple resultant securities.

Cash Movement Details:

The cash movement for this corporate action is represented through the following iterations.

Option Type	Credit/Debit	Representation
CASH/CASE	Credit	Cash payment credited to participating holders.
SECU	NA	No cash movements.

Attaching Securities

Attaching Securities can be part of Bonus Issues, Entitlement Offers, Priority Issues and Security Purchase Plans.

- Separate standalone ISO Messages will be published for Attaching Securities in addition to their respective Primary Messages to be consistent with current ReferencePoint Signals. These messages can be distinguished from their respective Primary Messages by referring to the Corporate Action Sub Type.
- Further to the above, the Primary Message will also carry details of the Attaching Securities.

Subscribers may choose to consume information about Attaching Securities by either of the above means.

1. Representation of Attaching Securities as a standalone message

Corporate Action Event Type and Event Processing Type:

ASX will assume the corporate action event type(s) and event processing type for these notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
BONU	Bonus or capitalisation issue	Security holders receive additional assets free of payment from the issuer, in proportion to their holding.	DISN
RHTS	Rights Issue/Subscription Rights/Rights Offer	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.	DISN
PRIO	Priority Issue	Form of open or public offer where, due to a limited amount of securities available, priority is given to existing shareholders.	DISN

- ISO Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
DISN	The holder of the relevant security on a certain date, will receive a benefit without giving up the underlying security.

- These notifications will have the following additional attributes.

Attributes	
Corporate Action Subtype	AOPT – Attaching Option
Linked Corporate Action ID	The Unique Corporate Action ID assigned to the Primary Message
Linkage Type	AOPT – Attaching Option

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for these notifications:

- MAND – Participation in CA event is mandatory. Further instructions from the account owner are not required. ASX will assume MAND if there is only one available option.

Option Type:

The **Option Type** specifies the corporate action options available to the account owner.

Code	ISO Definition
SECU	Securities = This option will provide a SECURITIES distribution to holders.

2. Representation of Attaching Securities in the Primary Message

- Attaching Securities will be represented as an additional Credit Security Movement in the Primary Message.
- If the Attaching Securities are not free then this will be reflected by the presence of an additional Debit Cash Movement in the Primary Message. This will be applicable only in the case of the Primary Message being an Entitlement Offer, Priority Issue or Security Purchase Plan.

Other CA Event

A single usage guideline has been documented for events other than takeovers/buy-backs where CHES (version from 2023) may still facilitate the takeover/buy-back election processing facility at the discretion and request of the Issuer/Company/Bidder that announce these corporate action events (for example, reinvestment offers). Refer to the Usage Guideline published on SWIFT MyStandards for more information, and the usage guideline list in Appendix 3.

Corporate Action Event Type and Event Processing Type:

ASX will assume the corporate action event type(s) and event processing type for these notifications:

Set the default Corporate Action Event Type value			Set the default Event Processing Type value
Code	Name	ISO Definition	
OTHR	CA events other than takeovers/buybacks that use the takeover/buyback facility	Other event, use only when no other event type applies, for example, a new event type.	REOR

- ISO Definitions of the Event Processing Type is provided below for information:

Code	ISO Definition
REOR	Underlying security will be debited and may be replaced by another resource (or resources).

Mandatory/Voluntary Event Type:

ASX will assume the following mandatory/voluntary event type for these notifications:

- VOLU – Participation in the corporate action is voluntary. If the owner wishes to take part in the event, instructions from the account owner are required.

Option Type:

The **Option Type** specifies the corporate action options available to the account owner.

Code	ISO Definition
CASH	Cash = Option to choose cash.
SECU	Securities = This option will provide a SECURITIES distribution to holders.
CASE	Cash and Securities = This option will provide the holders the ability to elect for the takeover consideration as a mix of CASH and SECURITIES.

ASX FTP Server Connection Procedure

This section provides details required to connect to the ASX FTP server.

Logging on

Logging on to the FTP server is via standard File Transfer Protocol; anonymous FTP will not be available.

Before the FTP server can be accessed, a username and password, and where applicable a digital internet VPN certificate, will be issued to subscribers by ASX. The password will be 'permanent' as FTP does not permit password changing. Should a user require their password to be changed, a request can be made to ASX Customer Technical Support.

Usernames are in lowercase and passwords are set by ASX to use uppercase and lowercase, numbers and symbols and must be a minimum of 4 and a maximum of 8 characters.

Communications Protocols

It is necessary that the customer provide their own equipment at their site in order to connect to the FTP server in order to access the ReferencePoint ISO 20022 Real-Time Corporate Action information. The equipment required can vary depending on the requirements of the customer.

Subject to complying with the above specifications, the design of the particular communications system configuration to be used by a customer to access the FTP server is a matter for their choice.

Access to the ReferencePoint ISO 20022 Real-Time Corporate Action service via the ASX's FTP server is delivered over an IP (Internet Protocol) routed network using FTP (File Transfer Protocol) and TCP/IP (Transfer Control Protocol / Internet Protocol).

File Transfer Protocol (FTP)

The communications protocols used are specified in documents known as "Requests for Comment" or merely "RFCs".

The equipment selected by a subscriber to access the FTP server must comply with the following protocols as described in the corresponding RFC for that protocol:

Protocol	RFC
Point to Point Protocol (PPP)	1661
Internet Protocol (IP)	791
Transport Control Protocol (TCP)	793
File Transfer Protocol (FTP)	959

Transfer Control Protocol / Internet Protocol (TCP/IP)

Connectivity to the FTP server can be achieved via either ASX Net, via the ASX Australian Liquidity Centre (ALC) CoLo or via SWIFTNet.

The ASX server side has been placed behind firewalls with locked down security. The security at a client's side is up to each individual client. Although not mandatory, it is highly recommended that all clients have a firewall or other security model in place.

Where a customer opts to receive the ASX ISO 20022 corporate action service via the FTP server service, an application must be made to the Information Services team (Information.Services@asx.com.au) who will place the request through the appropriate channels.

FTP Java Client

An FTP Java Client has been developed and can be used by subscribers to connect to the ReferencePoint ISO 20022 Real-Time Corporate Action service. The Java Client will assist customers in automating the process of connecting to the ASX FTP server and retrieving corporate action messages. The Java Client is available at no cost and can be emailed directly to the subscriber upon request. This software has been developed by ASX for its own internal purpose and on-going support is not provided by ASX. Subscribers will have to populate the following in their own system:

- Username and Password
- IP Address of the FTP server
- Destination file location (where the files will go)

Directory Structures

Upon successfully logging on, a subscriber will gain access to a directory allocated to that subscriber. Under that directory will be seven sub-directories, one for the current Business Day and one each for the preceding six Business Days.

Current Events

Each of the seven sub-directories will be identified by a date and will contain ISO 20022 corporate action notifications released on that date.

Requested Files

If a special request is made for historical ISO 20022 corporate action notifications, the files will be placed into the FTP Server sub-directory for the current Business Day. These files will be removed along with all the other files from that day's sub-directory in seven days' time.

Subscribers will need to institute suitable procedures to ensure that requested files for prior days are not dealt with (such as making the content available to the market) as if it were an ISO 20022 corporate action released for the first time on that day.

ASX Internet VPN Client Standard (iVPN)

For information about utilising ASX's internet VPN, customers should contact the ASX Customer Technical Support team via email to CTS@asx.com.au

Appendix 1 – Market Deadline Matrix - Dividends

ASX does not ask issuers for or captures a market deadline date for each of the “Option” sections of the Dividend notification. ASX has agreed with customers the following assumption matrix for the inclusion of a market deadline date in each option. The Market Deadline Date is available in field: /Document/CorpActnNtfctn/CorpActnOptnDtIs/DtDtIs/MktDdlIn

The rule for fill of the Market Deadline Date is as follows:

DRP / BSP / other Plan options: fill with Last Election Date if it exists

Ordinary / Special / Scrip / NZ Supplementary options: If the latest Last Election Date is not null and “Date of Share Registry Currency Payment Election” date is not null, fill with the latest among the two dates;
Else if the latest Last Election Date is not null, fill with the latest Last Election Date
Else if “Date of Share Registry Currency Payment Election” is not null, fill with the “Date of Share Registry Currency Payment Election”.
Otherwise, not mapped/filled

Currency option: If The Registry Currency Pay Election Date is not null, take “Date of Share Registry Currency Payment Election”. Otherwise, not mapped

Examples:

Scenarios Market Deadline Date Present from Issuer / in data capture	DRP (DRIP) Last Election Date	BSP (BONU) Last Election Date	Other (PLAN) Last Election Date	Ordinary (DVCA)	Special (SPEC)	Scrip (DVSC)	NZD (NZDD)	Paid in Other Currency Date of Share Registry Currency Payment Election	Mandatory /Voluntary Event Type	Market Deadline Date
#1 None	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A	MAND	DVCA option - not applicable(similar to where SPEC may be the only option)
#2 DRP	Y – e.g. 17/09/14	N/A	N/A	Y	N/A	N/A	N/A	N/A	CHOS	DRIP option - 17/09/14 (as announced) DVCA option - 17/09/14(assumed - – same as DRIP market deadline)
#3 DRP, BSP	Y – e.g. 20/09/14	Y - e.g. 25/09/14	N/A	Y	Y	N/A	N/A	N/A	CHOS	DRIP option - 20/09/14 (as announced) DVCA option - 25/09/14 (assumed) – latest date) SPEC option - 25/09/14 (assumed – latest date) BONU option - 25/09/14 (as announced)
#4 None	N/A	N/A	N/A	N/A	N/A	Y	N/A	N/A	MAND	DVSC option - not applicable
#5 None	N/A	N/A	N/A	Y	N/A	N/A	Y	N/A	MAND	DVCA / NZDD options - not applicable
#6 DRP, BSP, Currency	Y – e.g. 17/09/14	Y – e.g. 25/09/14	N/A	Y	Y	N/A	N/A	NZD, GBP – e.g. 20/09/14	CHOS	DVCA option - 25/09/14 (assumed) – latest date) SPEC option - 25/09/14 (assumed) – latest date) DRIP option - 17/09/14 (as announced) NZD option - 20/09/14 (as announced) GBP option - 20/09/14 (as announced) BONU option - 25/09/14 (as announced)

cont'd

Scenarios Market Deadline Date Present from Issuer / in data capture	DRP (DRIP) Last Election Date	BSP (BONU) Last Election Date	Other (PLAN) Last Election Date	Ordinary (DVCA)	Special (SPEC)	Scrip (DVSC)	NZD (NZDD)	Paid in Other Currency Date of Share Registry Currency Payment Election	Mandatory /Voluntary Event Type	Market Deadline Date
#7 Currency	N/A	N/A	N/A	Y	Y	N/A	N/A	NZD, GBP – e.g.20/09/ 14	CHOS	DVCA option - 20/09/14 (assumed) – latest date) SPEC option - 20/09/14 (assumed) – latest date) NZD option - 20/09/14 (as announced) GBP option - 20/09/14 (as announced)
#8 BSP, Currency	N/A	Y – e.g. 16/09/14	N/A	Y	N/A	N/A	N/A	GBP – e.g. 20/09/14	CHOS	DVCA option - 20/09/14 (assumed – latest date) BONU option - 16/09/14 (as announced) GBP option - 20/09/14 (as announced)
#9 Other Plan	N/A	N/A	Y – e.g. 16/09/14	Y	N/A	N/A	N/A	N/A	CHOS	DVCA option - 16/09/14 (assumed – same as OTHER) OTHER option - 16/09/14 (as announced)

Appendix 2 – Option Details Sequencing - Dividends

ASX will assume the following sequencing for the Option Details in each Dividend notification. The sequencing logic is to put all the plan options (DRP/BONUS/OTHER) with default option flag = “Y” to the top, followed by all distribution options (Ordinary, special...), then any plan options with default option flag NOT = “Y” (i.e. N/Blank), and all other currency options at the last.

The rule for Default Option fill is as follows:

DRP / BSP / Other Plan options: if default flag for the plan is “Y”, then “Y”, otherwise, “N”

Ordinary / Special / Scrip / NZ Supplementary options: if NONE of DRP/BSP/Other has a default option =‘Y’, then “Y”, otherwise, “N”

Currency option: Hardcoded to N

Option Details Sequencing – Examples:

Scenarios	DRP (DRIP)	BSP (BONU)	Other (PLAN)	Ordinary (DVCA)	Special (SPEC)	Scrip (DVSC)	NZD (NZDD)	Paid in Other Currency	Corporation Action Option Details Sequence
#1 Default Option - Ordinary	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A	DVCA
#2 Default option - DRP	Y	N/A	N/A	N	N/A	N/A	N/A	N/A	DRIP DVCA
#3 Default option - DRP	Y	N	N/A	N	Y	N/A	N/A	N/A	DRIP DVCA SPEC BONU
#4 Default option - CASH (Multiples)	N	N	N/A	Y	Y	N/A	N/A	N/A	DVCA SPEC DRIP BONU
#5 Default Option - BSP	N	Y	N/A	N	N	N/A	N/A	N/A	BONU DVCA SPEC DRIP
#6 Default Option - Script	N/A	N/A	N/A	N/A	N/A	Y	N/A	N/A	DVSC
#7 Default Option - Ordinary and NZD	N/A	N/A	N/A	Y (hardcoded)	N/A	N/A	Y (hardcoded)	N/A	DVCA NZDD

cont'd

Scenarios	DRP (DRIP)	BSP (BONU)	Other (PLAN)	Ordinary (DVCA)	Special (SPEC)	Script (DVSC)	NZD (NZDD)	Paid in Other Currency	Corporation Action Option Details Sequence
#8 Default Option - DRP/BSP (Non-business scenario but will be covered)	Y	Y	N/A	N	N	N/A	N/A	N/A	DRIP BONU DVCA SPEC
#9 Default Option Ordinary and Special	N	N	N/A	Y	Y	N/A	N/A	e.g. NZD GBP	DVCA SPEC DRIP BONU NZD (currency) GBP (currency)
#10 Default Option DRP	Y	N	N/A	N	N	N/A	N/A	e.g. NZD GBP	DRIP DVCA SPEC BONU NZD (currency) GBP (currency)

Appendix 3 – List of Usage Guidelines

Phase 1 – in production from 22 September 2014 – July 2020

Message Name	Event Type Code	Event Description	ReferencePoint csv file equivalent event type - code
ASX – AU – CA – Event Notifications – V1 – BusinessApplicationHeaderV01_head.001.001.01		Business Application Header (BAH)	
CorporateActionNotification002V04_seev.031.002.04 -Interest	INTR, PRII, DVSC	Interest Payment	Interest - IN
CorporateActionNotification002V04_seev.031.002.04 -Dividend - Combined	DVCA, DVOP, DRIP, DVSC	Dividend	Dividend Payment – DV
CorporateActionNotification002V04_seev.031.002.04 -Split and Consolidation	SPLF, SPLR	Reconstruction	Reconstruction - RC
CorporateActionNotification002V04_seev.031.002.04 –Return of Capital	DECR	Cash Capital Return	Capital Return – CR
ASX – AU – CA – Event Notifications – V1 – CorporateActionCancellationAdvice002V04_seev.039.002.04		Cancellation	

Phase 3 – in production from June 2021, including amendments effective July, August and December 2020, and 5 June 2021:

Message Name	Event Type Code	Event Description	Definition	ReferencePoint csv file equivalent event type - code
801_001_02_head_001_001_02		Business Application Header (BAH)	<p>The Business Application Header is a header that has been defined by the ISO 20022 community, that can form part of an ISO 20022 business message. Specifically, the BAH is an ISO20022 message definition (head.001.001.01) which can be combined with any other ISO20022 message definition to form a business message.</p> <p>It gathers together, in one place, data about the message, such as which organisation has sent the business message, which organisation should be receiving it, the identity of the message itself, a reference for the message and so on.</p> <p>The purpose of the BAH is to provide a consistent and predictable way for this data to be conveyed with the message, regardless of implementation factors such as the choice of network. This does not prevent such data being conveyed either within the ISO 20022 message definition itself, or as part of a network header.</p>	
700_001_05_seev_031_001_08	BONU	Bonus Entitlement (including In Specie)	Bonus or capitalisation issue. Security holders receive additional assets free of payment from the issuer, in proportion to their holding.	Bonus – BN Attaching Option - AO
702_001_04_seev_031_001_08	EXWA	Warrants Rollover	As stipulated in the security's Terms and Conditions, the issuer or the holder may prolong the maturity date of a security. After extension, the security details may differ from the original issue. An issuer initiated extension may be subject to holder's approval.	Reconstruction (Instalment Warrant Rollover/Reset) – RO
703_001_07_seev_031_001_08	DVCA	Cash dividend	Distribution of cash to shareholders, in proportion to their equity holding. Ordinary dividends are recurring and regular. Shareholder must take cash and may be offered a choice of currency	Dividend Payment - DV
704_001_07_seev_031_001_08	CHAN	Issuer Name Change, Issuer Code Change or ASX Code Change	Information regarding an Issuer Name Change, Issuer Code Change or ASX Code Change.	Name/Class change (ASX Code change) - CC

Message Name	Event Type Code	Event Description	Definition	ReferencePoint csv file equivalent event type - code
705_001_06_seev_031_001_08	CONV	Conversion - Note Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price/ratio.	Final date Convertible Note Conversion - CN
706_001_05_seev_031_001_08	DECR	Cash capital return	Reduction of face value of a single share or the value of fund assets. The number of circulating shares/units remains unchanged. This event may include a cash payout to holders.	Capital Return - CR
707_001_07_seev_031_001_08	DVOP	Dividend with options	Distribution of a dividend to shareholders with a choice of benefit to receive. Shareholders may choose to receive shares or cash. To be distinguished from DRIP as the company creates <u>new share capital</u> in exchange for the dividend rather than investing the dividend in the market.	Dividend Payment - DV
708_001_07_seev_031_001_08	DRIP	Dividend Reinvestment Plan	Dividend payment where holders can keep cash or have the cash reinvested in the market by the issuer into additional shares in the issuing company. To be distinguished from DVOP as the company invests the dividend in the market rather than creating new share capital in exchange for the dividend.	Dividend Payment - DV
711_001_04_seev_031_001_08	PPMT	Instalment Call - Call	An instalment towards the purchase of equity capital, subject to an agreement between an issuer and a purchaser.	Call - CL
712_001_05_seev_031_001_08	INTR	Interest payment	Interest payment distributed to holders of an interest bearing asset.	Interest - IN
713_001_06_seev_031_001_08	PRII	Interest payment with principal	An event which consists of two components, the decrease of the amortized value of a pool factor security and an interest payment.	Interest - IN
715_001_08_seev_031_001_08	MRGR	Merger / Scheme of arrangement	Exchange of outstanding securities, initiated by the issuer, which may include options, as the result of two or more companies combining assets, that is, an external, third party company. Cash payments may accompany share exchange.	N/A for ReferencePoint – Available in the Daily Diary
717_001_08_seev_031_001_08	PRIO	Priority Issue	The Priority issue is a way in which Eligible holders of a security may each subscribe to any number of securities (up to a maximum specified on the offer) without paying brokerage or other transaction costs. The offer will be made with the issue of an information memorandum, disclosure document or Product Disclosure Statement.	Priority Issue - PR

Message Name	Event Type Code	Event Description	Definition	ReferencePoint csv file equivalent event type - code
718_001_13_seev_031_001_08	BIDS	Buy-back Notification	Repurchase offer / issuer bid / reverse rights. Offer to existing holders by the issuing company to repurchase its own securities. The objective of the offer is to reduce the number of outstanding securities.	Equal Access Buy back - BB
719_001_07_seev_031_001_08	SPLR	Reconstruction - Reverse stock split – Consolidation	Decrease in a company's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are increased accordingly.	Reconstruction - RC
720_001_08_seev_031_001_08	RHTS	Rights entitlement	Offer to holders of a security to subscribe for additional securities via the distribution of an intermediate security. Both processes are included in the same event.	Renounceable – RR Non Renounceable - NR Attaching Option – AO (incl. accelerated offers)
721_001_07_seev_031_001_08	DVSC	Scrip dividend	Dividend or interest paid in the form of scrip	Dividend Payment - DV
722_001_06_seev_031_001_08	DVSC	Interest scrip dividend	Dividend or interest paid in the form of scrip	Interest - IN
723_001_07_seev_031_001_08	PRIO	Priority Offer - Security Purchase Plan	The SPP is a way in which Existing holders of a security may each subscribe for a described amount or value of securities at the Issue Price, without paying brokerage or other transaction costs. The offer can be made without the issue of a disclosure document or Product Disclosure Statement per relief granted by ASIC.	Security Purchase Plan - SP
725_001_06_seev_031_001_08	SPLF	Reconstruction - Stock split	Increase in a corporation's number of outstanding equities without any change in the shareholder's equity or the aggregate market value at the time of the split. Equity price and nominal value are reduced accordingly.	Reconstruction - RC
726_001_07_seev_031_001_08	TEND	Takeover	An offer made to holders, by a third party, requesting them to sell (tender) or exchange their securities.	N/A for ReferencePoint – Available in the Daily Diary

Message Name	Event Code	Type	Event Description	Definition	ReferencePoint csv file equivalent event type - code
727_001_06_seev_031_001_08	EXWA		Company Options Expiry	Final conversion event for Company Option holders where holders are advised of a specific period of time in which to exercise the options at the set exercise price near the final expiry date. If the options are not exercised they will lapse.	Final date Option conversion - OP
728_001_01_seev_031_001_08	OTHR		Other CA Event	Corporate Action events which are not TakeOvers/Buybacks, yet allow for bid election submission in CHES. (for example, Reinvestment Offers)	N/A for ReferencePoint
741_001_04_seev_039_001_08	CANC		Cancellation advice		
748_001_04_seev_031_001_08	EXWA		XR Event	Indicates that account owners can part-take in certain Primary events as long as they exercise company options before a certain date.	XR Event

Appendix 4 – Special Characters in ISO Message Output

The following special characters will be represented as below in the ISO Message Output

Special character	ISO Message Output
<	<
>	>
&	&
“	“ if inside a tag. (eg: <AddtlInf>“</AddtlInf>) or; " if inside an attribute of a tag (eg: <Amt Ccy=“AU"”>10</Amt>)
‘	‘ if inside a tag. (eg: <AddtlInf>‘</AddtlInf>) or; ' if inside an attribute of a tag (eg: <Amt Ccy=‘AU'’>10</Amt>)

ASX Contact Details

Content & System Support

Subscribers with data content and production problem queries can contact ASX Customer Technical Support team for customer support via email to CTS@asx.com.au

ASX Information Services

Should you wish to contact us to receive further information or discuss any aspects of ReferencePoint ISO 20022 Real-Time Corporate Action Service, please contact Information Services:

Email Information.Services@asx.com.au
Web www.asx.com.au

Houda Harb – Product Manager, Information and Technical Services (+612) 9227 0422
Magda Chivers – Business Development Manager, Information Services (+612) 9227 0359

