

ACCOUNT TRANSFERS AND PORTFOLIO MOVES

Manual

Table of Contents

1	Introduction	3
2	Copyright © JSE Limited	3
3	Version Control	3
4	Functional Enhancements	4
4.1	User Access	6
4.2	Available Holdings.....	6
4.3	Timelines.....	7
4.4	Swift Messages	7
4.5	Non-controlled Clients	8
4.6	Non-resident Controlled Clients	8
4.7	Transaction Codes	8
4.8	Dissemination	8
5	Account Transfers	9
5.1	Account Transfer Select (ATSEL)	10
5.2	Account Transfer Delivery (ATDLV)	15
5.3	Account Transfer Receipt (ATREC)	18
5.4	Account Transfer Enquiry (ATENQ).....	23
5.5	Account Transfer Detail (ATDET)	27
5.6	Account Transfer Report	30
6	Portfolio Moves	31
6.1	Portfolio Move Selection (PMSEL)	32
6.1.1	Accounts related by Branch, Partner or Advisor	34
6.1.2	List of Accounts	38
6.2	Portfolio Move Delivery (PMDLV)	41
6.3	Portfolio Move Receipt (PMREC)	46
6.4	Portfolio Move Enquiry (PMENQ).....	50
6.5	Portfolio Move Detail (PMDDET)	54
6.6	Portfolio Move Report	59

1 INTRODUCTION

One of the aims of the JSE is to automate routine back office processes in an effort to give users more time to deal with settlement issues in the shorter T + 3 settlement cycle. Two areas that are very manual and time intensive are Account Transfers and Portfolio Moves.

To address this, BDA has been enhanced with a number of new functions that will automate the transfer of holdings from one account to another either at the same member or another or to transfer an entire portfolio (All available listed equities holdings in All accounts) from one member to another.

Swift messages have been catered for to automate the process at the CSDP's as well but the messages will only go-live in mid-2016.

This BDA manual explains the two processes from end to end within the member firms.

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3 VERSION CONTROL

Version	Date	Author(s)	Notes on Revisions
0.1	10 April 2015	Barbara Teasdale	Document created
0.2	2 November 2015	Barbara Teasdale	Revised after testing
0.3	9 November 2015	Barbara Teasdale	Updated with comments from Chris Grove
1.0	20 November 2015	Barbara Teasdale	Version One

4 FUNCTIONAL ENHANCEMENTS

BDA has been enhanced to cater for:

- Internal Account Transfers
 - One or many dematerialised instruments transferred from one account to another within the same member.
- External Account Transfers
 - One or many dematerialised instruments transferred from an account at one member to an account at another member.
 - Controlled account holdings can be moved to Non-controlled accounts using the same functionality; however the holdings are not created on the Non-controlled account.
- Portfolio Transfers
 - All dematerialised qualifying instruments in one or many accounts can be transferred from one member to an account/s at another member.
 - Controlled account holdings can be moved to Non-controlled accounts using the same functionality; however the holdings are not created on the Non-controlled account.

The design leverages off existing BDA functionality and will, in time, interface with the CSDPs. A number of requirements have been taken into account when designing this functionality:

- Each transfer type has a separate transaction code to make it easily identifiable.
- This functionality is restricted to available listed equities only.
- Each screen has separate security access codes allowing for segregation of duties, even within one member or CSP.
- The default settlement date on the selection and delivery screens is T + 1, however this date may be changed to same day settlement or to a date further in the future
- Initially the Change of Beneficial Ownership field will be blocked. This automation of STT journals functionality may come into effect later.
- From mid-2016 BDA will cater for the automatic creation of the Swift Deliver Free of Payment and Receive Free of Payment instructions where applicable.
- When a Non-controlled account is receiving the shares, BDA will show the positions that are being transferred but once the transfer has been accepted by the receiving party the positions will not be opened on the Non-controlled account as the member will not be holding the shares.
- The acceptance of the transfer by the receiving party will trigger the transactions to be generated on both the delivering and the receiving side.

- For audit purposes BDA will record the Date, Time and User ID of the user who created and authorised the deliver instruction on the Delivering member's side and on the Receiving members side, the user who accepts receipt of the transfer.
- Portfolio costs will default to the cost from the Delivering member; however the Receiving Member is able to adjust Portfolio Costs of holdings being received.
- Funds are not included in the Account Transfers and Portfolio Moves functionality.

The new screens have been added to MENUV - ACCOUNT TRANSFER & PFV MOVES accessible by pressing PF8 and paging to the next page of the MAIN MENU.

OPTN: MENUV	BCS/A: ACC TRANSFERS AND PFV MOVES	6NOV15	08:05:11
ACTN:		JSE	592
OPTION	DESCRIPTION		
ATDET	ACCOUNT TRANSFER DETAIL REC		
ATDLV	ACCOUNT TRANSFER DELIVERY		
ATENQ	ACCOUNT TRANSFER ENQUIRY		
ATIEQ	ACC TFR INSTRUCTION ENQUIRY (For Future Use)		
ATREC	ACCOUNT TRANSFER RECEIPT		
ATSEL	ACCOUNT TRANSFER SELECTION		
ATSTA	ACCOUNT TRANSFER STATUS INT (For Future Use)		
PMDET	PORTFOLIO MOVE DETAIL RECOR		
PMDLV	PORTFOLIO MOVE DELIVERY		
PMENQ	PORTFOLIO MOVE ENQUIRY		
PMIEQ	PFV MOVE INSTRUCTION ENQUIR (For Future Use)		
PMREC	PORTFOLIO MOVE RECEIVED		
PMSEL	PORTFOLIO MOVE SELECTION		
PMSTA	PORTFOLIO MOVE STATUS IMTIM (For Future Use)		
PF1/13 HELP PF2/14 RETURN PF4/16 MAIN MENU PF12/24 QUIT (ONL.DTE 6NOV DB 995)			

4.1 User Access

User access must be given to the appropriate users via the SECFN function. User access to Select and Deliver functionality must not be given to the same user in order to ensure segregation of duties.

The following user access should be given:

Selector:

ATSEL	ACCOUNT TRANSFERS SELECTION
ATENQ	ACCOUNT TRANSFER ENQUIRY
ATDET	ACCOUNT TRANSFER DETAIL REC (PF9)
PMSEL	PORTFOLIO MOVES SELECTION
PMENQ	PORTFOLIO MOVE ENQUIRY
PMDT	PORTFOLIO MOVE DETAIL REC (PF9)

Authoriser:

ATDLV	ACCOUNT TRANSFERS DELIVERY
ATENQ	ACCOUNT TRANSFER ENQUIRY
ATDET	ACCOUNT TRANSFER DETAIL REC (PF9)
PMDLV	PORTFOLIO MOVES DELIVERY
PMENQ	PORTFOLIO MOVE ENQUIRY
PMDT	PORTFOLIO MOVE DETAIL REC (PF9)

Receiver:

ATREC	ACCOUNT TRANSFER RECEIVED
ATENQ	ACCOUNT TRANSFER ENQUIRY
ATDET	ACCOUNT TRANSFER DETAIL REC (PF9)
PMREC	PORTFOLIO MOVE RECEIVED
PMENQ	PORTFOLIO MOVE ENQUIRY
PMDT	PORTFOLIO MOVE DETAIL REC (PF9)

4.2 Available Holdings

Only **settled, dematerialised equities** are eligible for transfer. BDA will perform the same check as is currently done for Client Pledge to determine dematerialised holdings available for transfer. If securities have been ear-marked for use in the Securities and Funds Availability check, these shares will be excluded from the transfer/move.

- **Sales**
Shares that are required to settle open sales will are not available for transfer.

- **Purchases**
Purchases must be settled before their holdings can be transferred.
 - In the T + 3 settlement cycle, controlled client purchase will only settle on settlement day once settlement in the market has occurred.
- **Loans and Collateral**
Shares that are needed to settle Loans or Collateral transactions are not available for transfer.
- **Client Pledge**
Pledged Holdings are not available for transfer.
- **Corporate Actions**
Instruments that are between LDT and RD will be highlighted on the screen but transfer will be allowed. If for same day settlement, must be done in BDA by 09h00 on RD. The CSDPs must confirm the transfer by 10h00 otherwise they may reject it. A transfer during the period may have an impact on the 'Frozen' file. The frozen file will not be automatically updated.

4.3 Timelines

The Strate timelines for Account Transfers and Portfolio Moves are given in the table below.

Process	Settlement Date	Member Time	CSDP Time
Account Transfer <i>See below for times on Record Date</i>	Min T+0	17h00 (S)	18h00 (S)
Account Transfer Record date	Min T+0	09h00 (S)	10h00 (S)
Portfolio Moves <i>See below for times on Record Date</i>	Min T+0	17h00 (S)	18h00 (S)
Portfolio Moves Record date	Min T+0	09h00 (S)	10h00 (S)

NOTE: The system will stop all Account Transfers and Portfolio Moves for same day settlement after 17h00, however it does not enforce the cut-off time for instruments on Record Date as these instruments may be part of a larger Account Transfer or Portfolio Move. Shares on Record date will be highlighted on the screen and users must ensure that if the transfer is for same day settlement the transfer must be settled by the CSDP before 10h00.

4.4 Swift Messages

Swift messages will be incorporated in mid-2016. Swift messages will be optional and if used will lead to increased costs from Swift.

Initially the Swift message option will be irrelevant as the Swift messages generated by BDA will be suppressed i.e. no messages will actually be submitted to CSDP's. Once the messages go-live in 2016, the Y/N option will be introduced.

4.5 Non-controlled Clients

For Account Transfers or Portfolio Moves from Controlled client accounts to Non-Controlled accounts, the process of Selection, Delivery and Receipt will be the same but once the holdings have been received by the receiving member (whether internal or external) the removal of the holdings will be recorded on the Controlled account but the receipt will not be recorded on the Non-controlled account.

Should a member need to transfer shares to a party that is not an account in BDA, a temporary Non-controlled account may be opened (with CSDP details once the messages are introduced). The user can then deliver the shares to this account and the receiver can accept them which will result in the shares being removed from the controlled account. Once the messages are introduced, BDA will send a transfer instruction to the Members CSDP but the client/opposite party will have to instruct their CSDP to send the matching transfer Instruction.

4.6 Non-resident Controlled Clients

Account Transfers and Portfolio Moves may be performed for Non-resident clients. Non-resident Indicators are displayed just after the account name on most of the screens.

4.7 Transaction Codes

Each transfer type has a separate transaction codes to make them easily identifiable:

I1	Internal Acc Trf Delivery - will decrease controlled client holding
I2	Internal Acc Trf Receipt - will increase controlled client holding
E1	External Acc Trf Delivery - will decrease controlled client holding
E2	External Acc Trf Receipt - will increase controlled client holding
P1	Portfolio Move Delivery - will decrease controlled client holding
P2	Portfolio Move Receipt - will increase controlled client holding

4.8 Dissemination

The above new Transaction Codes will be disseminated in Card Code 88 (record continues in Card Code 89).

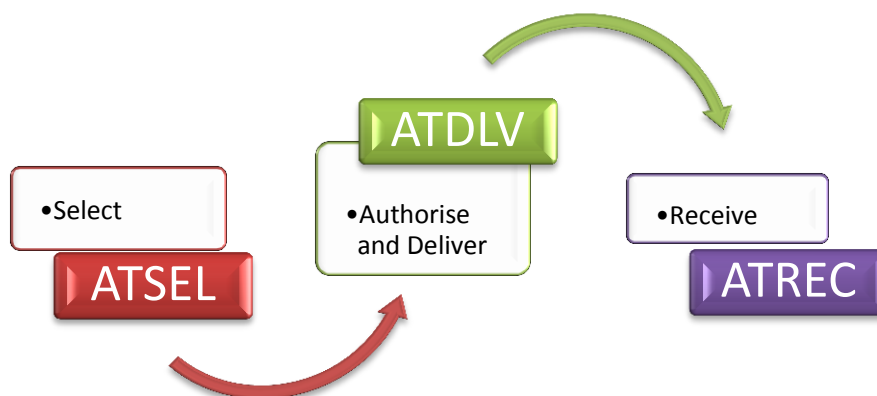
5 ACCOUNT TRANSFERS

The same screens are used for Internal and External Account Transfers. The user is able to select one or multiple holdings to be transferred and confirm delivery which will result in the transferred holdings appearing on the receiver's screen (Same Member or Receiving Member).

NOTE: The Account Transfer functionality is restricted to Listed Equities only. Cash, Bonds, Unit Trusts and Unlisted Instruments will continue to be moved manually.

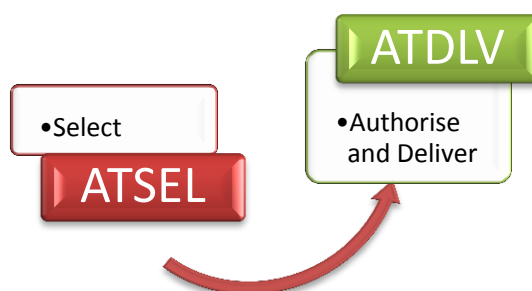
Internal Transfer Process Flow

Same Broker

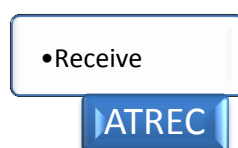


External Transfer Process Flow

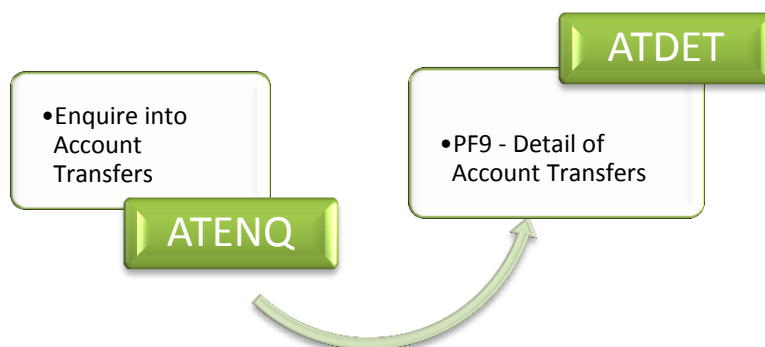
Delivering Broker Process Flow



Receiving Broker Process



Account Transfer Enquiry



5.1 Account Transfer Select (ATSEL)

The ATSEL (ACCOUNT TRANSFER SELECT) screen is used to select the shares to be transferred. The user is able to enter an account number and filter if necessary, on the Instrument Code in order to display all instruments or only one. Once the parameters have been entered, basic static account information will be displayed.

The user must enter the Receiving Members Numeric Code which BDA will validate against BROKM to ensure that the numeric value entered is a valid BDA Member. The Name and Alpha Code of the member will then be displayed. If the same member numeric code is entered, BDA will perform a further check on the Receive screen once the new account number is entered, to validate if the account number is Controlled or Non Controlled (See impact under ATREC). If a Non-controlled account is selected, on acceptance of the transfer, no positions will be created on the Non-Controlled account.

The screen defaults to the next business day as the settlement day (T + 1) but the date may be changed to the current date or to a date in the future as agreed with the opposite member. The Receiving Account code and a reason for the transfer (free form field) may be entered.

In the grid below, the Instrument Alpha Code, Short Name and Available Quantity will be displayed, followed by the Available Quantity Value, the Portfolio Cost and a Transfer Quantity. The user must enter the quantity (quantity entered cannot be more than the quantity displayed) of each instrument that is to be transferred.

NOTE: The user must update each page by entering Y in the UPDATE Y/N field, before paging to the next page to select additional shares. The system will generate an Account Transfer Reference Number; however on each subsequent update the same batch will be updated and the same reference number retained. Once the final shares are selected and the final page updated, the transactions will be available for delivery on ATDLV.

```

OPTN: ATSEL          BCS/A: ACCOUNT SELECT          27OCT15    13:23:39
ACTN:                UPDATE = Y OR N + ENTER TO UPDATE ABC          JSE          592
ACC CDE :    849505 N/R :          REC BRK NUMERIC CDE :    013
ACC NAME : KELLMAN MA          REC BRK ALPHA CDE :    AMR
INSTR :  _          _          REC BRK NAME : AMORIM SECURITIES (P
SETTLEMENT DATE : 20151027    REC BRK ACC CDE : 9003591
EDIT PRIOR? : N              SWIFT MSG Y/N : Y
ACC TRF REF NO.:  _          UPDATE (Y/N) :  _
REASON :  _

```

INSTR	INSTR NAME	AVAILABLE QUANTITY	AVAILABLE VALUE	PORTFOLIO COST	TRANSFER QUANTITY
APN	2 ASPEN	47	14617.00	10367.78	47
AQP	1 AQUARIUS	100	175.00	4444.32	0
NPK	2 NAMPAK	200	5830.00	4757.57	0
PET	2 PETMIN	1000	1420.00	3292.38	0
RMI	0 RMIH		8380.00	3373.22	0
SGL	0 SIBANYE		36.84	0.00	2

Press Enter again
for it to accept and
generate a
Reference Number

```

PF1 HELP      PF2 RETURN    PF5 ACDLS     PF7 PREV     PF8 NEXT     PF12 QUIT

```

Field Descriptions:

ACC CDE	<p>ACCOUNT CODE</p> <p>The user must enter the account code of the account <u>from</u> which the shares are to be transferred. The field is restricted to Client and Agent accounts. This is a mandatory field.</p>
---------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

N/R	NON RESIDENT INDICATOR
	This field displays the Account's Non Resident Indicator.

ACC NAME	ACCOUNT NAME
	The name of the account from which the shares are to be transferred will be displayed. This is a display only field.

INSTR	INSTRUMENT
-------	------------

This field allows the user to enter a specific share code, in order to display only that share if it is to be transferred. If more than one instrument is required to be transferred, this field should be left blank and all qualifying instruments will be listed in the grid below.

SETTLEMENT DATE

SETTLEMENT DATE

The system default settlement date is T + 1 however the delivering member may enter a different settlement date including the current date. The receiving broker is able to change this date if a new date is agreed upon.

REC BRK NUMERIC CDE

RECEIVING BROKER NUMERIC CODE

The user must insert the numeric code of the broker the shares are to be transferred to, in this field. This is a mandatory field.

REC BRK ALPHA CDE

RECEIVING BROKER ALPHA CODE

The system will display the Alpha Code of the broker entered in the field above.

REC BRK NAME

RECEIVING BROKER NAME

The system will display the name of the broker entered in the REC BRK NUMERIC CDE field.

REC BRK ACC CDE

RECEIVING BROKERS ACCOUNT CODE

The user may enter the receiving brokers account number if it is known. BDA does not validate this account at this time, unless the delivering and receiving brokers are the same broker in which case this field is mandatory.

SWIFT MSG Y/N

SWIFT MESSAGE INDICATOR

At this time the Swift Message indicator is irrelevant as the Swift messages will be suppressed. Once the CSDP's are ready to respond to messages this functionality will be introduced.

EDIT PRIOR?

EDIT PRIOR?

This field must be set to Y if a user wants to edit a transfer after the initial selection.

NOTE: Once the edit has been done the user must update the transfer (UPDATE Y/N = Y) and a new Transfer Reference number will be generated. The old number will be cleared from the system after 30 days.

ACC TRF REF NO

ACCOUNT TRANSFER REFERENCE NUMBER

When a transfer is updated (UPDATE Y/N set to Y) a reference number is generated. If a user wants to edit a transfer this field must be completed, or if the reference number is not known, the USERID of the initial user must be entered.

UPDATE(Y/N)

UPDATE (YES OR NO)

The user must update each page by entering Y in the UPDATE Y/N field, before paging to the next page to select additional shares. The system will generate an Account Transfer Reference Number; however on each subsequent update the same batch will be updated and the same reference number retained. Once the final shares are selected and the final page updated, the transactions will be available for delivery on ATDLV.

REASON

REASON

This is an optional field where the user may enter the reason for the transfer.
(Field Length is 50 Characters)

Press enter after entering the initial data and before selecting the shares to be transferred

Grid Detail:

INSTR

INSTRUMENT

This field displays the Instrument Alpha of the instruments that qualify to be displayed. If the Instrument filter field in the screen heading was used only the one instrument will be displayed.

INSTR NAME

INSTRUMENT NAME

The short name of the instrument will be displayed.

AVAILABLE QUANTITY

AVAILABLE QUANTITY

The quantity of shares available to be transferred will be displayed. This quantity is determined similar to the way the Electronic Client Pledge is calculated.

AVAILABLE VALUE

AVAILABLE VALUE

The value of the shares to be transferred will be displayed. The value is calculated as Available Quantity x Closing Price of the previous trading day.

PORTFOLIO COST

PORTFOLIO COST

The portfolio cost total of the shares available for transfer will be displayed. This value may be zero if no portfolio cost exists for the holding.

TRANSFER QUANTITY

TRANSFER QUANTITY

The quantity of shares that is to be transferred must be entered in this column. The quantity may be less or equal to the available quantity but it may not be more.

BDA will validate the quantities when the user 'Updates' the transaction. If a quantity is greater than what is available, the message TRANSFER QTY > QTY AVAIL will be displayed.

Function Keys:

- F1 HELP facility
- F2 RETURN to previous screen
- F5 Fast path to ACDLS, return to this screen when F2 from ACDLS
- F7 Page BACK to Previous Page once paged forward
- F8 Page forward to NEXT Page if more entries exist
- F12 Exit BDA

Once the user updates the record a system generated reference number will be displayed.

OPTN: ATSEL		BCS/A: ACCOUNT TRANSFER SELECT		27OCT15	13:23:39
ACTN:		480: RECORD ADDED: AT000000078		JSE	592
ACC CDE :	849505 N/R :	REC BRK NUMERIC CDE :	013		
ACC NAME :	KELLMAN MA	REC BRK ALPHA CDE :	AMR		
INSTR :	_ _ _ _ _	REC BRK NAME :	AMORIM SECURITIES (P		
SETTLEMENT DATE :	20151027	REC BRK ACC CDE :	9003591		
EDIT PRIOR? :	N	SWIFT MSG Y/N :	Y	UPDATE (Y/N) :	Y
ACC TRF REF NO.:	_ _ _ _ _	or USERID :	_ _ _	and CREATE-DTE :	_ _ _ _ _
REASON : _ _ _ _ _					

INSTR	INSTR NAME	AVAILABLE QUANTITY	AVAILABLE VALUE	PORTFOLIO COST	TRANSFER QUANTITY
APN	2 ASPEN	47	14617.00	10367.78	_ _ _ _ _
AQP	1 AQUARIUS	100	175.00	4444.32	_ _ _ _ _
NPK	2 NAMPAK	200	5830.00	4757.57	_ _ _ _ _
PET	2 PETMIN	1000	1420.00	3292.38	_ _ _ _ _
RMI	0 RMIH	200	8380.00	3373.22	_ _ _ _ _
SGL	0 SIBANYE	2	36.84	0.00	_ _ _ _ _

PF1 HELP	PF2 RETURN	PF5 ACDLS	PF7 PREV	PF8 NEXT	PF12 QUIT
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5.2 Account Transfer Delivery (ATDLV)

Once the shares for transfer have been selected and updated they will appear on the ATDLV (ACCOUNT TRANSFER DELIVERY) screen where a second user must authorise the transfer (Segregation of duties).

The authoriser must enter the Delivering Account Code and the Account Transfer Reference Number. The system will display the Account details, Instruments and quantity to be transferred and the Member Numeric code, Alpha Code and Name to whom the transfer is to be made.

The Settlement Date field will be populated with the next business days date and but it can be changed to the current date or another date in the future. This date indicates the settlement date of the transfer.

The authoriser can process or reject the transfer.

NOTE: The delivering broker must advise the receiving broker of the impending transfer and provide the Reference Number.

Rejected transfers will remain on the system and may be viewed (ATENQ) for a period of 30 days before they will be cleared from the system.

OPTN: ATDLV		BCS/A: ACCOUNT TRANSFER DELIVERY		27OCT15	13:25:08
ACTN:				JSE	592
ACC CDE :	849505 N/R :	REC BRK NUMERIC CDE :	013		
ACC TRF REF NO :	AT000000078	REC BRK ALPHA CDE :	AMR		
ACC NAME :	KELLMAN MA	REC BRK NAME :	AMORIM SECURITIES (P		
INSTR :	_ _ _ _ _	REC BRK ACC CDE :	9003591		
SETTLEMENT DATE :	20151027				
PROCESS TRANSFER (Y/N) :	_	SWIFT MSG(Y/N) :	Y		
REASON :					
		AVAILABLE	AVAILABLE	PORTFOLIO	TRANSFER
INSTR	INSTR NAME	QUANTITY	VALUE	COST	QUANTITY
APN	2 ASPEN	47	14617.00	10367.78	47
AQP	1 AQUARIUS	100	175.00	4444.32	
NPK	2 NAMPAK	200	5830.00	4757.57	
PET	2 PETMIN	1000	1420.00	3292.38	
RMI	0 RMIH	200	8380.00	3373.22	
SGL	0 SIBANYE	2	36.84	0.00	2
PF1 HELP	PF2 RETURN	PF5 ACDLS	PF7 PREV	PF8 NEXT	PF12 QUIT

Field Descriptions:

ACC CDE	ACCOUNT CODE The authoriser must enter the account code of the account <u>from</u> which the shares are to be transferred. The field is restricted to Client and Agent accounts. This is a mandatory field.
---------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

The shares selected earlier by the previous user will be displayed, together with the other shares available for transfer. This is so that the authoriser can make sure the correct shares were selected.

N/R	NON-RESIDENT INDICATOR This field displays the Account's Non Resident Indicator.
-----	-------------------------------------------------------------------------------------

ACC TRF REF NO	ACCOUNT TRANSFER REFERENCE NUMBER The system generated Transfer Reference Number assigned to the transaction on ATSEL must be entered. This is a mandatory field
----------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------

ACC NAME	ACCOUNT NAME The name of the account from which the shares are to be transferred will be displayed.
----------	--------------------------------------------------------------------------------------------------------

INSTR	INSTRUMENT This field allows the user to enter a specific instrument code, in order to display only that instrument. If more than one instrument is required to be displayed, this field should be left blank and all qualifying instruments will be listed in the grid below. The field is restricted to Listed Equities.
-------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

REC BRK NUMERIC CDE	RECEIVING BROKER NUMERIC CODE The numeric code of the receiving broker will be displayed.
---------------------	----------------------------------------------------------------------------------------------

REC BRK ALPHA CDE	RECEIVING BROKER ALPHA CODE The Alpha Code of the receiving broker will be displayed.
-------------------	------------------------------------------------------------------------------------------

REC BRK NAME	RECEIVING BROKER NAME The name of the receiving broker will be displayed.
--------------	------------------------------------------------------------------------------

REC BRK ACC CDE	RECEIVING BROKER ACCOUNT CODE If the receiving brokers account code was entered by the selecting user, the account number will be displayed here.
-----------------	------------------------------------------------------------------------------------------------------------------------------------------------------

REASON	<p>REASON</p> <p>The reason entered by the selecting user will be displayed, however it may be overwritten or if blank, a reason may be entered.</p>				
SETTLEMENT DATE	<p>SETTLEMENT DATE</p> <p>The default settlement date is T + 1. If the settlement date was amended by the selecting user, the amended date will be displayed here otherwise the default date will be displayed. The authorising user may amend the settlement date for this transfer.</p> <p>The Transactions will only be processed on the settlement date even if the user accepting the transfer accepts it earlier. The update is processed in the batch run on the night before settlement date provided the transfer has been accepted.</p>				
SWIFT MSG	<p>SWIFT MESSAGE INDICATOR</p> <p>At this time the Swift Message indicator is irrelevant as the Swift messages will be suppressed. Once the CSDP's are ready to respond to messages this functionality will be introduced.</p>				
PROCESS TRANSFER (Y//N)	<p>PROCESS TRANSFER (YES OR NO)</p> <p>This field allows the authoriser to process the transfer or to reject it if it is incorrect.</p> <table> <tr> <td>Y</td><td>The positions will be updated to the ATREC screen. If the transfer is within the same broker number, the positions will be updated to the same brokers ATREC screen. The Account Transfer reference number will be saved on the transaction.</td></tr> <tr> <td>N</td><td>The screen will be cleared of data and the transfer will not be processed.</td></tr> </table> <div> <p>NOTE: Errors must be fixed by editing the transfer on the Selection screen ATSEL.</p> </div>	Y	The positions will be updated to the ATREC screen. If the transfer is within the same broker number, the positions will be updated to the same brokers ATREC screen. The Account Transfer reference number will be saved on the transaction.	N	The screen will be cleared of data and the transfer will not be processed.
Y	The positions will be updated to the ATREC screen. If the transfer is within the same broker number, the positions will be updated to the same brokers ATREC screen. The Account Transfer reference number will be saved on the transaction.				
N	The screen will be cleared of data and the transfer will not be processed.				
SAT APPROVED	<p>SETTLEMENT AUTHORITY APPROVED</p> <p>No longer required</p>				
Grid Detail:					
INSTR	<p>INSTRUMENT</p> <p>This field will display the Instrument alphas of the listed equity instruments that qualify to be displayed. If the Instrument filter field in the screen heading was populated, only that instrument will be displayed.</p>				

INSTR NAME	INSTRUMENT NAME The short name of the instrument will be displayed.
AVAILABLE QUANTITY	AVAILABLE QUANTITY The quantity of shares available to be transferred will be displayed. This quantity is determined similar to the way Electronic Client Pledge is calculated.
AVAILABLE VALUE	AVAILABLE VALUE The value of the shares to be transferred will be displayed. The value is calculated as Available Quantity x Closing Price of the previous trading day.
PORTFOLIO COST	PORTFOLIO COST The portfolio cost total of the shares available for transfer will be displayed.
TRANSFER QUANTITY	TRANSFER QUANTITY The quantity of shares that is to be transferred as entered by the selecting user will be displayed. The quantities may not be changed by the authoriser.

Function Keys:

F1	HELP facility
F2	RETURN to previous screen
F5	Fast path to ACDLS, return to this screen when F2 from ACDLS
F7	Page BACK to Previous Page once paged forward
F8	Page forward to NEXT Page if more entries exist
F12	Exit BDA

5.3 Account Transfer Receipt (ATREC)

Once the delivery has been authorised on ATDLV, the ATREC (ACCOUNT TRANSFER RECEIVED) screen will be populated. If the member remains the same then that member's ATREC (ACCOUNT TRANSFER RECEIVED) screen will be populated with the data. If the member numeric code is different, then the new members ATREC (ACCOUNT TRANSFER RECEIVED) screen will be populated.

The Receiving Member must enter the following information to display the transfer:

- DEL BRK NUMERIC CODE
- DEL BRK ACC CODE
- ACC TRF REF NO

Field Descriptions:

DEL BRK NUMERIC CDE	DELIVERING BROKER NUMERIC CODE The numeric code of the Delivering Broker will be displayed. It may be the same broker as the Receiving Broker. This is a mandatory field.
DEL BRK ALPHA CDE	DELIVERING BROKER ALPHA CODE The Alpha Code of the Delivering Broker will be displayed.
DEL BRK NAME	DELIVERING BROKER NAME The name of the Delivering Broker will be displayed.
DEL BRK ACC CDE	DELIVERING BROKER ACCOUNT CODE The account code of the account <u>from</u> which the shares were transferred must be entered. This is a mandatory field.
N/R	NON-RESIDENT INDICATOR The delivering account's Non Resident Indicator will be displayed.
REC BRK CDE	RECEIVING BROKER NUMERIC CODE The receiving broker's numeric code will be displayed
REC ACC CDE	RECEIVING BROKER ACCOUNT CODE If previously entered, BDA will validate this account and populated the Account Name. If not entered, the new account number in the Receiving Broker's books must be entered by the receiver. This account must exist in the Receiving Brokers records before it is entered here.
REC ACC NAME	RECEIVING BROKER ACCOUNT NAME The name of the new account in the Receiving Broker's records will be displayed.
CHANGE OF BENEFICIAL OWNERSHIP(Y/N)	CHANGE OF BENEFICIAL OWNERSHIP(Y/N) This field will be set to N. The automation of the journal entries for STT may be introduced at a later stage.
ACC TRF REF NO	ACCOUNT TRANSFER REFERENCE NUMBER The system generated transfer reference number assigned to the transaction must be entered. This reference number must be provided by the delivering broker. This is a mandatory field.
REASON	REASON The reason entered by the Delivering Broker will be displayed; however it may be overwritten, by the Receiving Broker. (Field Length is 50 Characters).

SETTLEMENT DATE

SETTLEMENT DATE

The settlement date for this account transfer as entered by the Delivering Broker will be displayed. This is the date on which the transfer instructions will settle. The Receiving Broker may change this date to a later date but not earlier.

ACCEPT TRANSFER (Y//N)

ACCEPT TRANSFER (YES OR NO)

This field allows the receiver to accept the transfer or to reject it if it is incorrect

Receiving Broker

- Y The transaction with the appropriate transaction code, depending on the type of transfer (Internal or External) will be generated and the Client's account will be increased with the holding and the CS position on 39008 will be updated.
 - I2 Internal Acc Trf Receipt
 - E2 External Acc Trf Receipt
- N The client's holding will not be increased.

NOTE: The rejection must be communicated to the delivering broker or the internal user manually; as BDA will not trigger a rejection message

Delivering Broker

- Y The transaction with the appropriate transaction code, depending on the type of transfer (Internal or External) will be generated and the client's account will be decreased with the holding and the CS position on 39008 will be updated.
 - I1 Internal Acc Trf Delivery
 - E1 External Acc Trf Delivery
- N The client's holding will not be decrease and 39008 will not be updated.

SWIFT MSG

SWIFT MESSAGE INDICATOR

At this time the Swift Message indicator is irrelevant as Swift messages will be suppressed.

The Swift message indicator will always be N for internal transfers. Once the CSDP's are ready to respond to messages this functionality will be introduced.

Grid Detail:

INSTR

INSTRUMENT

This field will display the Instrument alphas of the instruments that were transferred to the Receiving Broker's records.

INSTR NAME	INSTRUMENT NAME The short name of the instrument will be displayed.
TRANSFER QUANTITY	TRANSFER QUANTITY The quantity of shares that is to be transferred as entered by the Delivering Broker will be displayed. The quantities may not be changed by the Receiving Broker.
TRANSFER VALUE	TRANSFER VALUE The value of the shares to be transferred will be displayed. The value is calculated as Available Quantity x Closing Price of the previous trading day.
PRICE	PRICE The Price used to calculate the Transfer Value will be displayed.
PORTFOLIO COST	PORTFOLIO COST The portfolio cost total of the shares available for transfer will be displayed. This cost may be modified by the Receiving Broker.

Function Keys:

F1	HELP facility
F2	RETURN to previous screen
F5	Fast path to ACDLS of the Receiving Brokers account, return to this screen when F2 from ACDLS
F7	Page BACK to Previous Page once paged forward
F8	Page forward to NEXT Page if more entries exist
F12	Exit BDA

NOTE1: If the receiving broker has accepted the transfer and the CSDPs do not action it, the receiving broker must 'undo' the transfer by returning the positions to the delivering broker using the same screens. This will result in the BDA positions being 'unwound' in both brokers books.

NOTE2: Users must be aware that there is a time lapse between the Receipt and the update in the accounts. This is about 2-3 minutes.

5.4 Account Transfer Enquiry (ATENQ)

BDA allows users to enquire on Account Transfers by Delivering Member, Receiving Member, Account Number, Instrument and Date range.

OPTN: ATENQ	ACCOUNT TRANSFER ENQUIRY	4NOV15	15:48:10
ACTN:		ARM	592
<div style="border: 1px solid green; padding: 5px; display: inline-block;"> A delivering or receiving broker code must be entered </div>			
DELIVERING BROKER	: 084	OR	RECEIVING BROKER : ____
DELIVERING BRK ACC CDE	: ____	OR	RECEIVING BRK ACC CDE : ____
INSTRUMENT	: E ____	(INSTR:TYP, ALPHA, VERSION)	
FROM SETTLE DATE	: 20151104	(CCYYMMDD)	
TO SETTLE DATE	: 20151104	(CCYYMMDD)	
<div style="border: 1px solid green; padding: 5px; display: inline-block;"> Defaults to current date but a date range may be entered </div>			
PF1 HELP	PF2 RETURN	PF12 QUIT	

Field Descriptions:

DELIVERING BROKER

DELIVERING BROKER

Depending on the role of the broker, the user may choose to enter the broker numeric code of either the Delivering or the Receiving broker in order to display Account Transfers actioned by that broker.

OR

RECEIVING BROKER

RECEIVING BROKER

Depending on the role of the broker, the user may choose to enter the broker numeric code of either the Delivering or the Receiving broker in order to display Account Transfers actioned by that broker.

DELIVERING BROKER ACCOUNT CODE

DELIVERING BROKER ACCOUNT CODE

Depending on the role of the broker, the user may choose to enter the client account code in that broker's books to restrict the search to Account Transfers actioned on that account.

OR

RECEIVING BROKER ACCOUNT CODE

RECEIVING BROKER ACCOUNT CODE

Depending on the role of the broker, the user may choose to enter the client account code in that broker's books to restrict the search to Account Transfers actioned on that account.

INSTRUMENT CODE

INSTRUMENT CODE

This filter field allows the user to enter the INSTRUMENT ALPHA of the instrument that was included in the Account Transfer. This field may be left 'blank' in which case all instruments transferred within the specified period and on the specified account will be displayed.

FROM SETTLE DATE

FROM SETTLEMENT DATE

This field defaults to the current date. It allows the user to enter a date 'FROM' which to start the search for the account transfers. If entered, the system will display transfers where the settlement date is equal to or greater than the date entered.

TO SETTLE DATE

TO SETTLEMENT DATE

This field defaults to the current date. It allows the user to enter a 'TO' date which will restrict the data displayed to transfers that occurred on or before the specified date.

The Account Transfer screen displays the data requested on the parameter screen. PF9 will display detail of the transfer.

OPTN: ATENQ		ACCOUNT TRANSFER ENQUIRY				4NOV15 15:36:04	
ACTN:						ARM 592	
DELIVER BRK CDE:		ACCOUNT		RECEIVE BRK CDE:		ACCOUNT:	

F DEL	DEL BRK	INSTR	QUANTITY	SETT DTE	REC	REC BRK	SWIFT REFERENCE
N BRK	ACCOUNT				BRK	ACC CDE	

84	849505	APN	47	20151027	13	9003591	
84	849505	SGL	2	20151027	13	9003591	

PF1 HELP PF2 RETURN PF7 BACK PF8 NEXT PF9 ATDET PF12 EXIT							

Field Descriptions:

F	<p>FUNCTION</p> <p>When on this field the user can fast path to the ATDET screen for the specific Account Transfer.</p>
DEL BRK	<p>DELIVERING BROKER</p> <p>The broker numeric code of the delivering broker will be displayed.</p>
INSTR	<p>INSTRUMENT ALPHA</p> <p>The Instrument Alpha for which the Account Transfer Instruction was sent will be displayed.</p>
QUANTITY	<p>QUANTITY</p> <p>The quantity of shares, of the above instrument, impacted by the Account Transfer Instruction will be displayed.</p>
SETT DTE	<p>SETTLEMENT DATE</p> <p>The Settlement Date on which the Account Transfer Instruction will settle or settled at the CSDP will be displayed.</p>

REC BRK	RECEIVING BROKER The broker numeric code of the Receiving Broker will be displayed.
REC BRK ACC CDE	RECEIVING BROKER ACCOUNT CODE The Account Code of the Receiving Broker will be displayed.
SWIFT REFERENCE	SWIFT MESSAGE REFERENCE Not available yet.

Function Keys:

F1	Help facility
F2	Return to previous screen
F7	Page to Previous Page once paged forward
F8	Page Forward to next page if more entries exist
F9	Fast path to the ATDET screen
F12	Exit BDA

5.5 Account Transfer Detail (ATDET)

Placing the cursor on the 'F' Function field on the ATENQ screen will allow the use of F9 to access the ATDET (ACCOUNT TRANSFER DETAIL) screen. The detail screen will display the details of the Account Transfer.

The Date, Time, User and Source for each of the steps in the process will be displayed. If a particular step has not yet taken place those fields will be blank.

Rejected records are also displayed until they are cleared. The retention period for unused or rejected records is 30 days.

OPTN: ATDET		ACCOUNT TRANSFER DETAIL RECORD		27OCT15	13:24:14
ACTN:				ARM	592
DEL BRK NUMERIC CDE: 84		ACC CDE : 9003591			
DEL BRK ALPHA CDE.: JSE		ACC NAME: KELLMAN MA			
DEL BRK NAME.: JSE SECURITIES		CHANGE OF BENEFICIAL OWNERSHIP (Y/N):			
DEL BRK ACC CDE : 849505		ACC TRF REF No.: AT000000078			
REASON.:					
SETTLEMENT DATE. : 20151027		STT CHARGED : _____			
INSTR	INSTR NAME	TRANSFER QUANTITY	TRANSFER VALUE	PRICE	PORTFOLIO COST
-----	-----	-----	-----	-----	-----
APN	ASPEN	47	14617.00	311.00	10367.78
SGL	SIBANYE	2	36.84	18.42	.00
<div style="border: 1px solid green; padding: 5px;"> SELECT DETAIL : Y DTE: 20151027 TME: 13224646 USR: 592 SOURCE: BDATSEL AUTHORISE DETAIL : Y DTE: 20151027 TME: 13254343 USR: 592 SOURCE: BDATDLV SAT DETAIL : DTE: 0 TME: 0 USR: SOURCE: _____ ACCEPT DETAIL : Y DTE: 20151027 TME: 135710 USR: 592 SOURCE: BDATREC </div>					
PF1 HELP		PF2 RETURN		PF5 ACDLS	PF7 BACK
				PF8 NEXT	PF12 EXIT

Field Descriptions:

DEL BRK NUMERIC CDE

DELIVERING BROKER NUMERIC CODE

The numeric code of the broker that delivered the shares will be displayed.
It may be the same broker as the Receiving Broker.

DEL BRK ALPHA CDE

DELIVERING BROKER ALPHA CODE

The Alpha Code of the Delivering Broker will be displayed.

DEL BRK NAME	<p>DELIVERING BROKER NAME</p> <p>The name of the Delivering Broker will be displayed.</p>
DEL BRK ACC CDE	<p>DELIVERING BROKER ACCOUNT CODE</p> <p>The account code of the account <u>from</u> which the shares were transferred will be displayed.</p>
ACC CDE	<p>ACCOUNT CODE</p> <p>The account code in the Receiving Broker's books to which the shares were transferred, will be displayed.</p>
ACC NAME	<p>ACCOUNT NAME</p> <p>The name of the account in the receiving broker's books to which the shares were transferred, will be displayed.</p>
CHANGE OF BENEFICIAL OWNERSHIP(Y/N)	<p>CHANGE OF BENEFICIAL OWNERSHIP(Y/N)</p> <p>The automation of the STT journals may be introduced at a later stage.</p>
ACC TRF REF NO	<p>ACCOUNT TRANSFER REFERENCE NUMBER</p> <p>The system generated transfer number assigned to the transaction will be displayed.</p>
REASON	<p>REASON</p> <p>The final reason entered against this transaction, will be displayed.</p>
SETTLEMENT DATE	<p>SETTLEMENT DATE</p> <p>This field displays the settlement date for this account transfer.</p>
STT CHARGED	<p>SECURITIES TRANSFER TAX CHARGED</p> <p>If the automation of STT journal entries is introduced the STT that was charged as a result of a change of beneficial ownership will be displayed in this field.</p>
Grid Detail:	
INSTR	<p>INSTRUMENT</p> <p>This field will display the Instrument alphas of the instruments that were transferred to the Receiving Broker's books.</p>
INSTR NAME	<p>INSTRUMENT NAME</p> <p>The short name of the instrument will be displayed.</p>
TRANSFER QUANTITY	<p>TRANSFER QUANTITY</p>

The quantity of shares that was transferred will be displayed.

TRANSFER VALUE

TRANSFER VALUE

The final value as calculated as Price x Quantity of the shares transferred, will be displayed.

PRICE

PRICE

The closing price of the day the transaction was initiated will be displayed.

PORTFOLIO COST

PORTFOLIO COST

The portfolio cost total of the shares available for transfer will be displayed.

Function Keys:

- F1 HELP facility
- F2 RETURN to previous screen
- F5 Fast path to ACDLS of the applicable brokers account, return to this screen when F2 from ACDLS
- F7 Page BACK to Previous Page once paged forward
- F8 Page forward to NEXT Page if more entries exist
- F12 Exit BDA

NOTE: The detail screen will display the transfer audit trail including the Date and Time of the authorisation, the User ID and the Source.

5.6 Account Transfer Report

This report is produced intra-day on an adhoc basis either once the shares have been Selected or once they have been Delivered or for both Selected and Delivered.

OPTN: RPROC	BCS/A: UPDATE PROCESS REQUEST	06NOV15 09:22:14
ACTN:		JSE 592
PROCESS : PACTRF	ACCOUNT TRANSFERS (ADHOC)	REQUEST: 001
RUN FREQUENCY : _	RUN DAY: _	QUARTER/HALFYEAR START MONTH: _
ONLINE / BATCH : ONLINE		
REQUEST PROCESSING PARAMETERS		
NAME	VALUE	
SELECT, DELIVER, ALL	S (S/D/A)	Chose S (Selected), D (Delivered) or A (All)
START-DTE	00000000 (CCYYMMDD)	
END-DTE	00000000 (CCYYMMDD)	
<div>Adhoc report - use '*' to request</div> <div>Date range may be entered but system will default to current date if not entered</div>		
REQUEST OUTPUT DESTINATION(s) :	LOCAL	
COPIES :	01	
FORM :	STAD	
PF1/13 HELP PF2/14 RETURN PF4/16 MAIN MENU PF5 PRINTERS PF12/24 QUIT		

The report will display a Header row of Account information followed by the underlying lines for each share.

FIELDS

RANGE START DATE RANGE END DATE SELECTION TYPE e.g. SELECT + DELIVER

- ACC_CDE
- SHORT NAME
- N/R
- OPP BRK
- OPP BRK NAME
- TRF REF
- CREATE-DATE
- SETTLE DATE
- SHARE
- QUANTITY
- PORTFOLIO COST
- STATUS e.g. DELIVERED

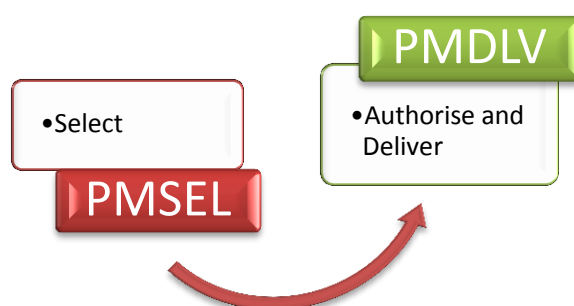
6 PORTFOLIO MOVES

With a Portfolio Move, all available electronically settled securities in one or many accounts will be moved from the applicable client accounts in the Delivering Member to the applicable accounts in the Receiving Member's books. The accounts must exist in the Receiving Member's books.

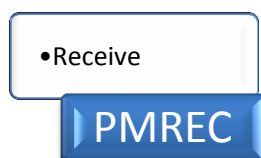
As opposed to an Account Transfer, a Portfolio Move means that all available dematerialised equities will be transferred for all accounts selected and there can be no change in beneficial ownership.

NOTE: The Portfolio Move functionality will be restricted to Listed Equities only. Cash, Bonds, Unit Trusts and Unlisted Instruments will be moved manually.

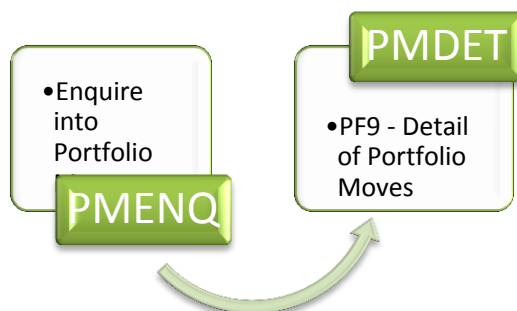
Delivering Broker Process Flow



Receiving Broker Process Flow



Enquire into Portfolio Moves



6.1 Portfolio Move Selection (PMSEL)

A new screen has been added to the Account Transfers and Portfolio Moves menu (MENUV). The Portfolio Move Selection Screen (PMSEL) allows the user to filter data using Branch/Partner or Advisor or Account.

If the user uses Branch and/or Partner, only accounts with that Branch and/or Partner code will be populated on the following screen. If Advisor is used then Branch and Partner must not be entered, the message 'BRN OR PARTNER INVALID' will be displayed. If Account is selected then the detail screen will not be populated with any accounts; the user must enter the accounts to be included in the transfer, in the grid.

The screen has a 'Details Y/N' field. If 'N' is selected, the screen will only display the account static data. If 'Y' is selected, the screen will display the account static data and all the instruments that are available to be transferred. These instruments and their quantities may not be changed. The display includes the current market value, price and portfolio value.

OPTN: PMSEL		PORTFOLIO MOVE SELECTION		5NOV15 15:53:03	
ACTN:				JSE 592	
BRANCH		:	___	<div style="border: 1px solid green; padding: 5px;"> Example shows accounts selected by Partner Code 'L' </div>	
and PARTNER		:	L		
ADVISOR		:	_____		
ACCOUNT	(Y/N)	:	_		
DETAIL	(Y/N)	:	_		
F1 HELP		F2/14 RETURN		F5/17 TABLES PF12 QUIT	

Field Descriptions:

BRANCH

BRANCH CODE

The user is able to search for Accounts/Portfolios using the branch code and/or partner.

PARTNER	<p>PARTNER CODE</p> <p>The user is able to search for Accounts/Portfolios using the partner code and/or branch code.</p>
ADVISOR	<p>ADVISOR CODE</p> <p>The user is able to search for Accounts/Portfolios using the Advisor code. The Advisor Code may only be used if the Branch and Partner Codes are not used. The error code 'BRN OR PARTNER INVALID' will be displayed if the incorrect combination is entered.</p>
ACCOUNT(Y/N)	<p>ACCOUNT (YES OR NO)</p> <p>This field, if selected will change the online display screen to a grid, allowing the user to load an unrelated list of accounts, as opposed to the accounts related by Branch/Partner code or Advisor code.</p> <div> <p>NOTE: If Account Y/N is Y then Detail Y/N must remain N to allow for a list of accounts to be loaded. Once the list is loaded the detail can be view by using the PF3 Key.</p> </div>
DETAIL(Y/N)	<p>DETAIL (YES OR NO)</p> <p>This parameter controls whether the underlying holdings are initially displayed for each account or not.</p> <p>If Y, each account and its underlying holdings will be displayed, allowing the user to F8 to the following pages.</p> <p>If N, only the first line Account information will be displayed. The user must expand the view using the F3 key to display the underlying holdings. F2 returns the user to the consolidated view.</p> <div> <p>NOTE: The user must be in the consolidated view to change the settlement date or process the Portfolio Move.</p> </div>

Once the screen is populated with the data, the user must enter the Receiving Brokers Numeric Code, the reason and the settlement date.

6.1.1 Accounts related by Branch, Partner or Advisor

NOTE: If the Details Y/N is N then the underlying holdings will not be shown, only a list of the accounts to be transferred. Pressing PF3 expands the view to show the holdings.

The PMSEL screen that follows shows the filter DETAIL = N.

OPTN: PMSEL		BCS/A: PORTFOLIO MOVE SELECTION		5NOV15	15:54:19
ACTN:				JSE	592
BRANCH :		REC BRK NUMERIC CDE	_____		
PARTNER : L		REC BRK ALPHA CDE	:	_____	
ADVISOR :		REC BRK NAME :	_____		
REASON :			DETAILS (Y/N) :	N	
SETTLEMENT DATE :	20151106	SWIFT MSG Y/N :	_____	UPDATE (Y/N) :	_____
ACC CDE	ACCOUNT NAME	N/R	REC BRK ACC CDE		
1802024	SAMUELS A				
2800001	LINDER M				
2800019	DU PLESSIS C				

Enter receiving brokers
Account Numbers here.

PF1 HELP PF2 RETURN PF3 DETAILS PF5 TABLES PF7 PREV PF8 NEXT PF12 QUIT

The PMSEL screen that follows shows the filter DETAIL = Y or after PF3 is pressed.

OPTN: PMSEL		BCS/A: PORTFOLIO MOVE SELECTION		5NOV15 15:55:59	
ACTN:				JSE 592	
BRANCH :		REC BRK NUMERIC CDE		000	
PARTNER : L		REC BRK ALPHA CDE		:	
ADVISOR :		REC BRK NAME :			
REASON :				DETAILS (Y/N) : N	
SETTLEMENT DATE : 20151106		SWIFT MSG Y/N :			

ACC CDE	ACCOUNT NAME	N/R	REC BRK	ACC CDE	PFV COST
INSTR	INSTR NAME	QUANTITY	VALUE		
1802024	SAMUELS A			0	
AFX	3 AFROX	2000	29800.00		60000.00
AGL	1 ANGLO	704	105226.88		207827.18
AMS	1 AMPLATS	600	180228.00		399204.42
APN	2 ASPEN	4500	1399500.00		995626.27
ART	0 ARGENT	3000	12030.00		47458.16
BIL	1 BHPBILL	2300	513199.00		458433.72
BSR	1 BASREAD	4000	14400.00		75625.43
BTI	0 BATS		1791950.00		634363.26
2800001	LINDER M			0	
ACL	1 ARCMITTAL		720.00		2400.00

PF1 HELP PF2 RETURN PF5 TABLES PF7 PREV PF8 NEXT PF12 QUIT

Field Descriptions:

BRANCH	BRANCH CODE The branch code entered on the filter panel will be displayed.
PARTNER	PARTNER CODE The Partner code entered on the filter panel will be displayed.
ADVISOR	ADVISOR CODE The Advisor code entered on the filter panel will be displayed.
REC BRK NUMERIC CDE	RECEIVING BROKER NUMERIC CODE The user must enter the numeric code of the broker to whom the portfolio or portfolios are to be transferred. The system will validate the broker numeric code.
REC BRK ALPHA CDE	RECEIVING BROKER ALPHA CODE The alpha code of the Receiving Broker will be displayed.
REC BRK NAME	RECEIVING BROKER NAME

The name of the Receiving Broker will be displayed.

REASON

REASON

This is an optional field where the user may enter the reason for the Portfolio Move (Field Length is 50 Characters).

SETTLEMENT DATE

SETTLEMENT DATE

The settlement date entered by the delivering broker will be displayed. The user may enter the settlement date for this Portfolio Move. The system will default to the current date. This is the date on which the transfer instructions will settle at the CSDPs.

SWIFT MSG

SWIFT MESSAGE INDICATOR

At this time the Swift Message indicator is irrelevant as the Swift messages will be suppressed. Once the CSDP's are ready to respond to messages this functionality will be introduced.

UPDATE(Y/N)

UPDATE (YES OR NO)

The user must update this field to Y for the transaction to move to the next screen. If the user enters N the portfolio move will not be saved.

NOTE: The user must be in the consolidated view (DETAILS = N) to change any values or to UPDATE the transaction. Press PF2 to return to the consolidated view.

Press ENTER again to confirm the acceptance

Detail - First Row:

ACC CDE

ACCOUNT CODE

The Account Codes of all active accounts found that comply with the filter parameters will be displayed.

ACCOUNT NAME

ACCOUNT NAME

The short name of the identified accounts will be displayed.

N/R

NON-RESIDENT INDICATOR

The non-resident indicator of the account will be displayed.

REC BRK ACC CDE

RECEIVING BROKERS ACCOUNT CODE

The user may enter the Receiving Brokers account codes in this field.

Detail - Second Row:

INSTR	<p>INSTRUMENT</p> <p>This field displays the Instrument alpha of the listed equity instruments that qualify to be displayed.</p>
INSTR NAME	<p>INSTRUMENT NAME</p> <p>The short name of the instrument will be displayed.</p>
QUANTITY	<p>QUANTITY</p> <p>The quantity of shares available to be transferred will be displayed. This quantity is determined similar to the way electronic pledge is calculated. For a Portfolio Move, the user cannot change this quantity.</p>
VALUE	<p>VALUE</p> <p>The value of the shares to be transferred will be displayed. The value is calculated as Available Quantity x Closing Price of the previous trading day.</p>
PORTFOLIO COST	<p>PORTFOLIO COST</p> <p>The portfolio cost total of the shares available for transfer will be displayed.</p>

Function Keys:

F1	HELP facility
F2	RETURN to previous screen
F7	Page BACK to Previous Page once paged forward
F8	Page forward to NEXT Page if more entries exist
F12	Exit BDA

6.1.2 List of Accounts

If the user enters ACCOUNT Y/N as a Y, the screen will not display any accounts but allow the user to enter a list of accounts one below the other in the account code column of the grid. Once the page is full the user may page to the next page. The accounts will be validated and the names displayed. The user is able to page back if necessary.

OPTN: PMSEL		PORTFOLIO MOVE SELECTION		4NOV15 16:21:20	
ACTN:				JSE 592	
BRANCH		:	___		
and PARTNER		:	___		
ADVISOR		:	___		
ACCOUNT	(Y/N)	:	Y	<div style="border: 1px solid green; padding: 5px;"> <p>Enter 'Y' to load a list of accounts not linked by Branch/Partner or Advisor Code</p> <p>The DETAIL Y/N must be set to blank or N when loading a list of accounts</p> </div>	
DETAIL	(Y/N)	:	_		
F1 HELP		F2/14 RETURN		F5/17 TABLES PF12 QUIT	

The user may change or delete account numbers provided the transaction has not been updated.

The PMSEL screen that follows shows the filter ACCOUNT = Y after the accounts have been entered.

OPTN: PMSEL		BCS/A: PORTFOLIO MOVE SELECTION		4NOV15	16:24:44
ACTN:		E10:ENTER A VALID BROKER CODE		JSE	592
BRANCH :		REC BRK NUMERIC CDE	_____		
PARTNER :		REC BRK ALPHA CDE	:	_____	
ADVISOR :		REC BRK NAME :	_____		
REASON :			DETAILS (Y/N):	N	
SETTLEMENT DATE :	20151105	SWIFT MSG Y/N :		UPDATE (Y/N):	
ACC CDE	ACCOUNT NAME	N/R	REC BRK ACC CDE		
1700004	HANEKOM A				
1789452	KLAASEN F				
1800002	GARDINER M				
1802024	SAMUELS A				

Enter receiving brokers
Account Numbers here.

PF1 HELP PF2 RETURN PF3 DETAILS PF5 TABLES PF7 PREV PF8 NEXT PF12 QUIT

Once the accounts have all been listed, the user is able to expand the accounts to show the detail of the shares by pressing PF3. Press PF2 to return to the consolidated view and UPDATE

Irrespective of how the data was populated, the user must update the transaction (Update Y/N) once the selection has been made. A Portfolio Move Reference Number will be generated. This number must be noted for future use and communicated to the opposite member. Once updated, the data will move to the Portfolio Move Delivery Screen (PMDLV).

OPTN: PMSEL	BCS/A: PORTFOLIO MOVE SELECTION	6NOV15	10:51:01
ACTN:	480: RECORD ADDED: PM000000023	JSE	592
BRANCH :	REC BRK NUMERIC CDE	013	
PARTNER : L	REC BRK ALPHA CDE	: ARM	
ADVISOR :	REC BRK NAME	AMORIM SECURITIES (P	
REASON : TRANSFERRED TO AMORIM SECURITIES		DETAILS (Y/N) :	N
SETTLEMENT DATE : 20151109	SWIFT MSG N : N	UPDATE (Y/N) :	N

ACC CDE	ACCOUNT NAME	N/R	REC BRK ACC CDE
1802024	SAMUELS A		
2800001	LINDER M		
2800019	DU PLESSIS C		

Press Enter again
for it to accept and
generate a
Reference Number

PF1 HELP PF2 RETURN PF3 DETAILS PF5 TABLES PF7 PREV PF8 NEXT PF12 QUIT

6.2 Portfolio Move Delivery (PMDLV)

The data is then displayed on the Portfolio Move Delivery screen. The authoriser must enter the Receiving Members numeric code the Portfolio Move Reference Number and DETAILS Y or N. in order to display the data.

OPTN: PMDLV	PORTFOLIO MOVE DELIVERY	5NOV15	16:14:52
ACTN:		JSE	592
RECEIVING BROKER: 013			
PORTFOLIO MOVE REF NO: PM000000023			
DETAIL (Y/N) : Y		System default is N if this field is left blank	
PF1 HLP	PF2 RETURN	PF4 MAIN	PF12 EXIT

Field Descriptions:

RECEIVING BROKER	RECEIVING BROKER To display the Portfolio Move the authoriser must entered the Numeric Code of the Receiving Broker.
PORTFOLIO MOVE REF NO	PORTFOLIO MOVE REFERENCE NUMBER The Portfolio Move Reference number generated on the ATSEL screen must be entered.

DETAIL(Y/N)

DETAIL (YES OR NO)

The authoriser may choose to display the underlying holdings or not when they initially filter the data. The default will be No detail.

If Y, each account and its underlying holdings will be displayed, allowing the user to PF8 to the following pages.

If No, only the first line Account information will be displayed. The user may then use the PF3 key to display the underlying data.

The PMDLV screen will display the selected record.

OPTN: PMDLV		BCS/A: PORTFOLIO MOVE DELIVERY		6NOV15		10:59:37	
ACTN:				JSE		592	
BRANCH :		REC BRK NUMERIC CDE		013			
PARTNER : L		REC BRK ALPHA CDE		: ARM			
ADVISOR :		REC BRK NAME : AMORIM SECURITIES (P					
SAT APPROVED Y/N : _		PORTFOLIO MOVE REF NO.: PM000000023					
REASON : TRANSFERRED TO AMORIM SECURITIES				DETAILS : Y			
SETTLEMENT DATE : 20151106		SWIFT MSG Y/N : Y		PROCESS TRF Y/N : _			
ACC CDE	ACCOUNT NAME	N/R		REC BRK ACC CDE			
INSTR	INSTR NAME	BATCH	QTY	BATCH VALUE	CURR QTY	PFV COST	
1802024	SAMUELS A					0	
AFX	3 AFROX	2000		29800.00	2000	60000.00	
AGL	1 ANGLO	704		105226.88	704	207827.18	
AMS	1 AMPLATS	600		180228.00	600	399204.42	
APN	2 ASPEN	4500		1399500.00	4500	995626.27	
ART	0 ARGENT	3000		12030.00	3000	47458.16	
BIL	1 BHPBILL	2300		513199.00	2300	458433.72	
BSR	1 BASREAD	4000		14400.00	4000	75625.43	
BTI	0 BATS	2500		1791950.00	2500	634363.26	
2800001	LINDER M					0	
PF1 HELP		PF2 RETURN		PF5 TABLES		PF7 PREV	
						PF8 NEXT	
						PF12 QUIT	

Field Descriptions:

BRANCH	BRANCH CODE
The Branch code will be displayed if the accounts to be moved were selected by Branch.	
PARTNER	PARTNER CODE
The Partner code will be displayed if the accounts to be moved were selected by Partner.	
ADVISOR	ADVISOR CODE
The Advisor code will be displayed if the accounts to be moved were selected by Advisor.	
REC BRK NUMERIC CDE	RECEIVING BROKER NUMERIC CODE
The Receiving Broker's numeric code will be displayed.	

REC BRK ALPHA CDE	<p>RECEIVING BROKER ALPHA CODE</p> <p>The Receiving Broker's alpha code associated with the above numeric code will be displayed.</p>				
REC BRK NAME	<p>RECEIVING BROKER NAME</p> <p>The name of the Receiving Broker will be displayed.</p>				
SAT APPROVED	<p>SETTLEMENT AUTHORITY APPROVED</p> <p>Discontinued</p>				
PORTFOLIO MOVE REF NO	<p>PORTFOLIO MOVE REFERENCE NUMBER</p> <p>The system generated Portfolio Move Reference Number entered on the filter screen will be displayed.</p>				
REASON	<p>REASON</p> <p>The reason entered by the selecting user will be displayed. The authorising user may override it or enter a reason (Field Length is 50 Characters).</p>				
SETTLEMENT DATE	<p>SETTLEMENT DATE</p> <p>The authorising user may override the settlement date entered for this Portfolio Move. This is the date on which the transactions will settle on BDA. The default settlement date is T + 1 but it may be changed to the current date or another date in the future.</p>				
SWIFT MSG	<p>SWIFT MESSAGE INDICATOR</p> <p>At this time the Swift Message indicator is irrelevant as the Swift messages will be suppressed. Once the CSDP's are ready to respond to messages this functionality will be introduced.</p>				
PROCESS TRANSFER (Y//N)	<p>PROCESS TRANSFER (YES OR NO)</p> <p>Once the user has checked the portfolio move they must process the transfer:</p> <table> <tr> <td>Y</td><td>The accounts and positions will be populated on the PORTFOLIO MOVE RECEIVED screen (PMREC) of the Receiving Broker.</td></tr> <tr> <td>N</td><td>The data will not be populated to the PMREC screen.</td></tr> </table> <p>A new Portfolio Move would have to be done to correct this as the only error could be the selection of the incorrect accounts. Rejected Portfolio Moves will be cleared off the system after 30 days.</p>	Y	The accounts and positions will be populated on the PORTFOLIO MOVE RECEIVED screen (PMREC) of the Receiving Broker.	N	The data will not be populated to the PMREC screen.
Y	The accounts and positions will be populated on the PORTFOLIO MOVE RECEIVED screen (PMREC) of the Receiving Broker.				
N	The data will not be populated to the PMREC screen.				

Detail - First Row:

ACC CDE	ACCOUNT CODE The Account Codes of all accounts selected on PMSEL will be displayed.
ACCOUNT NAME	ACCOUNT NAME The Short Names of the identified accounts will be displayed.
N/R	NON-RESIDENT INDICATOR The Non-resident indicator of the account will be displayed.
REC BRK ACC CDE	RECEIVING BROKER ACCOUNT CODE The Receiving Brokers account code will be displayed.

Detail - Second Row:

INSTR	INSTRUMENT This field will display the Instrument alphas of the available instruments.
INSTR NAME	INSTRUMENT NAME The short name of the instruments will be displayed.
QUANTITY	QUANTITY The quantity of shares available to be transferred will be displayed. This quantity is determined similar to the way Electronic Pledge is calculated. This quantity cannot be changed when doing a Portfolio Move.
VALUE	VALUE The value of the shares to be transferred will be displayed. The value is calculated as Available Quantity x Closing Price of the previous trading day.
PORTFOLIO COST	PORTFOLIO COST The portfolio cost total of the shares available for transfer will be displayed.

Function Keys:

F1	HELP facility
F2	RETURN to previous screen
F7	Page BACK to Previous Page once paged forward
F8	Page forward to NEXT Page if more entries exist
F12	Exit BDA

After checking the data and the Settlement Date, the user must enter **Y** to process or **N** to reject the transfer.

OPTN: PMDLV		BCS/A: PORTFOLIO MOVE DELIVERY		6NOV15 11:19:06	
ACTN:		456: SUCCESSFUL UPDATE		JSE 592	
BRANCH :		REC BRK NUMERIC CDE 013			
PARTNER : L		REC BRK ALPHA CDE : ARM			
ADVISOR :		REC BRK NAME : AMORIM SECURITIES (P			
SAT APPROVED Y/N : _		PORTFOLIO MOVE REF NO.: PM000000023			
REASON : TRANSFERRED TO AMORIM SECURITIES		DETAILS : Y			
SETTLEMENT DATE : 20151106		SWIFT MSG Y/N : Y		PROCESS TRF Y/N : _	

ACC CDE	ACCOUNT NAME	N/R	REC BRK	ACC CDE	
INSTR	INSTR NAME	BATCH QTY	BATCH VALUE	CURR QTY	PFV COST
1802024	SAMUELS A				0
AFX	3 AFROX	2000	29800.00	2000	60000.00
AGL	1 ANGLO	704	105226.88	704	207827.18
AMS	1 AMPLATS	600	180228.00	600	399204.42
APN	2 ASPEN	4500	1399500.00	4500	995626.27
ART	0 ARGENT	3000	12030.00	3000	47458.16
BIL	1 BHPBILL	2300	513199.00	2300	458433.72
BSR	1 BASREAD	4000	14400.00	4000	75625.43
BTI	0 BATS	2500	1791950.00	2500	634363.26
2800001	LINDER M				0

PF1 HELP	PF2 RETURN	PF5 TABLES	PF7 PREV	PF8 NEXT	PF12 QUIT
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6.3 Portfolio Move Receipt (PMREC)

The delivering member must notify the receiving member once the Portfolio Move has been processed. The Reference Number must be included in the notification.

The user at the Receiving Member's office must access the Portfolio Move Received (PMREC) screen in order to accept the Portfolio Move.

The Delivering Member's Numeric Code and the Portfolio Move Reference Number must be entered to display the data.

OPTN: PMREC		PORTFOLIO MOVE RECEIVED		06NOV15 11:43:04	
ACTN:		560: ENTER CHANGES REQUIRED		ARM 592	
DEL BRK NUMERIC CDE: 84		PORTFOLIO MOVE REF NO : PM000000023			
DEL BRK ALPHA CDE.: JSE		SETTLEMENT DATE: 20151106			
DEL BRK NAME.: JSE SECURITIES		ACCEPT PORTFOLIO MOVE (Y/N): -			
SAT APPROVED Y/N		ACCEPT BRK CDE: 13			
REASON.: TRANSFERRED TO AMORIM SECURITIES		SWIFT MSG: Y			
DEL BRK ACCOUNT NAME		N/R		REC BRK ACC NAME N/R	
ACC CDE	INSTR INSTR NAME	QUANTITY	PFV COST	ACC CDE	
1802024	SAMUELS A				
	AFX AFROX	2000	60000.00		
	AGL ANGLO	704	207827.18		
	AMS AMPLATS	600	399204.42		
	APN ASPEN	4500	995626.27		
	ART ARGENT	3000	47458.16		
	BIL BHPBILL	2300	458433.72		
	BSR BASREAD	4000	75625.43		
	BTI BATS	2500	634363.26		
PF1 HELP		PF2 RETURN		PF5 ACDLS	
				PF7 BACK	
				PF8 NEXT	

If the account number was not entered by the Delivering broker press Enter to allow the system to validate the account number (it will display the clients name) after entering it

Field Descriptions:

DEL BRK NUMERIC CDE	DELIVERING BROKER NUMERIC CODE The Delivering Broker's numeric code must be entered by the receiver. This field is mandatory.
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DEL BRK ALPHA CDE	DELIVERING BROKERS ALPHA CODE The alpha code of the Delivering Broker will be displayed.
-------------------	---------------------------------------------------------------------------------------------

DEL BRK NAME

DELIVERING BROKERS NAME

The name of the Delivering Broker will be displayed.

PORTFOLIO MOVE REF NO

PORTFOLIO MOVE REFERENCE NUMBER

The reference number assigned to the portfolio move must be entered. The delivering broker must provide this number to the Receiving broker.

SETTLEMENT DATE

SETTLEMENT DATE

The settlement date entered by the Delivering Broker will be displayed. The Receiving Broker may change the settlement date to a future date provided the Delivering Broker agrees.

ACCEPT PORTFOLIO
MOVE (Y/N)

ACCEPT PORTFOLIO MOVE (YES OR NO)

This field allows the receiver to accept the portfolio move or to reject it if it is incorrect.

Receiving Broker

Y The transactions will be generated with the appropriate transaction codes. The client accounts are increased with the holdings and the CS positions on 39008 are updated.

P2 Portfolio Move Receipt

N The client's holdings are not increased and the CS positions on 39008 are not updated.

NOTE: The rejection must be manually communicated to the Delivering Broker as BDA does not send rejection messages to the opposite broker.

Delivering Broker

Y The transactions will be generated with the appropriate transaction codes. The client accounts are decreased with the holdings and the CS positions on 39008 are updated.

P1 Portfolio Move Delivery

N The client's holdings are not decreased and the CS positions on 39008 are not updated.

SAT APPROVED

SETTLEMENT AUTHORITY APPROVED

No longer required

ACCEPT BRK CDE	<p>ACCEPTING BROKER'S NUMERIC CODE</p> <p>The receiving broker's numeric code will be displayed.</p>
REASON	<p>REASON</p> <p>The reason for the portfolio move as entered by the Delivering Broker will be displayed (Field Length is 50 Characters).</p>
SWIFT MSG	<p>SWIFT MESSAGE INDICATOR</p> <p>At this time the Swift Message indicator is irrelevant as Swift messages will be suppressed. Once the CSDP's are ready to respond to messages this functionality will be introduced.</p>
Detail - First Row:	
DEL BRK ACC CDE	<p>DELIVERING BROKER ACCOUNT CODE</p> <p>The account code in the Delivering Broker's books will be displayed</p>
ACCOUNT NAME	<p>ACCOUNT NAME</p> <p>The short name of the account in the Delivering Brokers books will be displayed.</p>
N/R	<p>NON RESIDENT INDICATOR</p> <p>The non-resident indicator of the account will be displayed.</p>
REC BRK ACC CDE	<p>RECEIVING BROKERS ACCOUNT CODE</p> <p>If the Receiving brokers Account Number was not entered by the Delivering Broker, the receiving Broker must enter the number on the line in the First Detail Row.</p> <p>If entered by the Delivering broker, this number will be displayed on each line after the Portfolio Cost; however if it is incorrect the Receiving broker may correct it by entering the number on the line in the First Detail Row for each account.</p>
ACCOUNT NAME	<p>ACCOUNT NAME</p> <p>The account name of the above account will be displayed. This account must exist in the Receiving Broker's books as this process does not open an account.</p>
N/R	<p>NON RESIDENT INDICATOR</p> <p>The non-resident indicator of the account will be displayed.</p>
INSTR	<p>INSTRUMENT</p> <p>The instrument codes of the instruments delivered will be displayed</p>
INSTR NAME	<p>INSTRUMENT NAME</p>

The names of the available instruments will be displayed

QUANTITY

QUANTITY

The quantity of shares to be transferred will be displayed. This quantity cannot be changed.

PFV COST

PORTFOLIO COST

The portfolio cost total of the shares available for transfer will be displayed.

NOTE: The receiver may change this value.

Function Keys:

- F1 HELP facility
- F2 RETURN to previous screen
- F5 Fastpath to ACDLS
- F7 Page BACK to Previous Page once paged forward
- F8 Page forward to NEXT Page if more entries exist
- F12 Exit BDA

Once the user is satisfied that the data is correct they must enter a 'Y' in the ACCEPT PORTFOLIO MOVE Y/N field. The system will ask them to 'Enter' again to implement

If the user enters 'N' in this field the portfolio move will not be processed. The broker must notify the Delivering Broker that the Portfolio Move was rejected.

NOTE: Users must be aware that there is a time lapse between the Receipt and the update in the accounts. This is about 2-3 minutes.

6.4 Portfolio Move Enquiry (PMENQ)

A user may enquire on a Portfolio Move

OPTN: PMENQ	PORTFOLIO MOVE ENQUIRY	6NOV15	12:53:09
ACTN:		SPR	592
PORTFOLIO MOVE REF NO: _____			
DELIVERING BROKER: _____			
RECEIVING BROKER: _____			
FROM SETTLE DATE: _____			
TO SETTLE DATE: _____			
DETAIL (Y/N) : _			
PF1 HELP	PF2 RETURN	PF12 EXIT	

Field Descriptions

PORTFOLIO MOVE REF NO	PORTFOLIO MOVE REFERENCE NUMBER The user may enter a Portfolio Move Reference number to display only that Portfolio Move
DELIVERING BROKER	DELIVERING BROKER NUMERIC CODE Depending on the role of the broker, the user may choose to enter the broker numeric code of either the Delivering or the Receiving broker in order to display Portfolio Moves actioned by that broker. A broker may wish to view all Portfolio Moves that they have delivered or they may wish to view all portfolio moves they have received from a particular broker
RECEIVING BROKER	RECEIVING BROKER NUMERIC CODE

Depending on the role of the broker, the user may choose to enter the broker numeric code of either the Delivering or the Receiving broker in order to display Portfolio Moves actioned by that broker.

FROM SETTLE DATE

FROM SETTLEMENT DATE

This field allows the user to enter a date 'FROM' which to start the search for the Portfolio Moves. If entered, the system will display portfolio moves where the settlement date is equal to or greater than the date entered.

TO SETTLE DATE

TO SETTLEMENT DATE

This field allows the user to enter a 'TO' date which will restrict the data displayed to portfolio moves that occurred on or before the specified date.

DETAIL(Y/N)

DETAIL (YES OR NO)

The user may choose to display the underlying holdings or not when they initially filter the data. The default is 'No' detail.

If Yes, each account and its underlying holdings will be displayed allowing the user to F8 to the following pages.

If No, only the first line Account information will be displayed. Once displayed, the user may use F3 to expand the display to include the underlying holdings.

NOTE: The system initially displays the Accounts that are involved in the Portfolio Move. Once the correct account has been found the user can press PF9 to display the details of the holdings. PF9 on the Holdings display will display the full details of the Portfolio Move.

OPTN: PMENQ		PORTFOLIO MOVE ENQUIRY		13NOV15 09:29:58	
ACTN:				JSE 592	
DELIVERING BRK CDE: 84					
F DEL BRK ACCOUNT NAME			ACC CDE ACCOUNT NAME		
N	ACC	CDE	INSTR	INSTR NAME	QUANTITY PFV COST

1802024 SAMUELS A					
2800001 BING					

PF9 to display holding details

F1 HELP
F2 RETURN
F7 BACK
F8 NEXT
F9 PMDET
F12 QUIT

Delivering Broker:

OPTN: PMENQ	PORTFOLIO MOVE ENQUIRY	6NOV15	12:55:24
ACTN:		JSE	592
DELIVERING BRK CDE: 84			
F DEL BRK ACCOUNT NAME		ACC CDE	ACCOUNT NAME
N ACC CDE INSTR INSTR NAME	QUANTITY	PFV	COST

1802024	SAMUELS A		
AFX	AFROX	2000	60000.00
AGL	ANGLO	704	207827.18
AMS	AMPLATS	600	399204.42
APN	ASPEN	4500	995626.27
ART	ARGENT	3000	47458.16
BIL	BHPBILL	2300	458433.72
BSR	BASREAD	4000	75625.43
BTI	BATS	2500	634363.26
2800001	LINDER M		
ACL	ARCMITTAL	80	2400.00
BGA	B-AFRICA	3486	494838.00
CCO	CAPCO	9	304.00
EXX	EXXARO	88	13873.00
ITU	INTUPLC	9	439.00

F1 HELP	F2 RETURN	F7 BACK	F8 NEXT
F9 PM	F12 QUIT		

PF9 to display the
full Portfolio Move

Receiving Broker:

OPTN: PMENQ	PORTFOLIO MOVE ENQUIRY	OV15	12:59:41
ACTN:		ARM	592
DELIVERING BRK CDE: 84			
F DEL BRK ACCOUNT NAME		ACC CDE	ACCOUNT NAME
N ACC CDE INSTR INSTR NAME	QUANTITY	PFV	COST

1802024	SAMUELS A	5003	LS A
AFX	AFROX	2000	60000.00
AGL	ANGLO	704	207827.18
AMS	AMPLATS	600	399204.42
APN	ASPEN	4500	995626.27
ART	ARGENT	3000	47458.16
BIL	BHPBILL	2300	458433.72
BSR	BASREAD	4000	75625.43
BTI	BATS	2500	634363.26
2800001	LINDER M	50021	LINDER L
ACL	ARCMITTAL	80	2400.00
BGA	B-AFRICA	3486	494838.00
CCO	CAPCO	9	304.00
EXX	EXXARO	88	13873.00
ITU	INTUPLC	9	439.00

F1 HELP	F2 RETURN	F7 BACK	F8 NEXT
F9 PMDET	F12 QUIT		

If the Delivering Broker did not
enter the Receiving Brokers Account
Codes the Receiving Brokers
account codes data will not be
visible in the Delivering Broker's
records

Field Descriptions

F **FUNCTION**
When on this field the user can fast path (F9) to the PMDET screen for the specific Portfolio Move.

DELIVERING BRK CDE **DELIVERING BROKER NUMERIC CODE**
The delivering broker's numeric code will be displayed if entered on the filter panel.

Detail - First Row:

DEL BRK ACC CDE **DELIVERING BROKER ACCOUNT CODE**
The account code in the delivering broker's books will be displayed

ACCOUNT NAME **ACCOUNT NAME**
The short name of the account in the delivering broker's books will be displayed

REC BRK ACC CDE **RECEIVING BROKER ACCOUNT CODE**
The account code in the receiving broker's books will be displayed

ACCOUNT NAME **ACCOUNT NAME**
The short name of the account in the receiving broker's books will be displayed

Detail - Second Row:

INSTR **INSTRUMENT**
The instrument code of the instruments delivered will be displayed

INSTR NAME **INSTRUMENT NAME**
The name of the above instrument will be displayed

QUANTITY **QUANTITY**
The quantity of shares transferred will be displayed.

PFV COST **PORTFOLIO COST**
The portfolio cost total of the shares delivered will be displayed.

Function Keys:

F1 **HELP** facility
F2 **RETURN** to previous screen

- F7 Page BACK to Previous Page once paged forward
- F8 Page forward to NEXT Page if more entries exist
- F9 Fast path to PMDET
- F12 Exit BDA

6.5 Portfolio Move Detail (PMDET)

Placing the cursor on the 'F' Function field against any account included in a particular portfolio move, will allow the use of the F9 key to fast path to the PMDET (PORTFOLIO MOVE DETAIL) screen. The detail screen displays details around the members involved, the reason, settlement date and all accounts and instruments included in the portfolio move.

Delivering Member

OPTN: PMDET		PORTFOLIO MOVE DETAIL RECORD		6NOV15 12:25:37	
ACTN:				JSE 592	
DEL BRK NUMERIC CDE: 84		REC BRK NUMERIC CDE : 13			
DEL BRK ALPHA CDE.: JSE		REC BRK ALPHA CDE : ARM			
DEL BRK NAME: JSE SECURITIES		REC BRK NAME: AMORIM SECURITIES (P			
PORTFOLIO MOVE REF NO.: PM000000023		SETTLEMENT DATE : 20151106			
REASON: TRANSFERRED TO AMORIM SECURITIES					
DEL BRK ACCOUNT NAME			ACC CDE ACCOUNT NAME		
ACC CDE	INSTR	INSTR NAME	QUANTITY	PFV	COST

1802024	SAMUELS	A			
	AFX	AFROX	2000		60000.00
	AGL	ANGLO	704		207827.18
	AMS	AMPLATS	600		399204.42
	APN	ASPEN	4500		995626.27
	ART	ARGENT	3000		47458.16
	BIL	BHPBILL	2300		458433.72
	BSR	BASREAD	4000		75625.43
SELECT	DETAIL : Y	DTE: 20151106	TME: 19460404	USR: 592	SOURCE: BDPMSSEL
AUTHORISE	DETAIL : Y	DTE: 20151106	TME: 19493333	USR: 592	SOURCE: BDPMDLV
SAT	DETAIL :	DTE: 0	TME: 0	USR:	SOURCE:
ACCEPT	DETAIL : Y	DTE: 20151106	TME: 19533838	USR: 592	SOURCE: BDPMREC
F1 HELP	F2 RETURN	F7 BACK	F8 NEXT	F11 RIGHT	F12 EXIT

Delivering Member - Left Panel

OPTN: PMDETR		PORTFOLIO MOVE DETAIL RECORD		6NOV15 12:26:00	
ACTN:				JSE	592
DEL BRK NUMERIC CDE: 84		REC BRK NUMERIC CDE :		13	
DEL BRK ALPHA CDE...: JSE		REC BRK ALPHA CDE :		ARM	
DEL BRK NAME: JSE SECURITIES		REC BRK NAME: AMORIM SECURITIES (P			
PORTFOLIO MOVE REF NO.: PM000000023		SETTLEMENT DATE :		20151106	
REASON: TRANSFERRED TO AMORIM SECURITIES					
ACCOUNT CODE	ACCOUNT NAME		TOTAL		SETTLE
	INSTR	INSTR NAME	SWIFT REFERENCE	QUANTITY	DATE

1802024	SAMUELS A				
	AFX	AFROX	R000000000000 0		20151106
	AGL	ANGLO	R000000000000 0		20151106
	AMS	AMPLATS	R000000000000 0		20151106
	APN	ASPEN	R000000000000 0		20151106
	ART	ARGENT	R000000000000 0		20151106
	BIL	BHPBILL	R000000000000 0		20151106
	BSR	BASREAD	R000000000000 0		20151106
	BTI	BATS	R000000000000 0		20151106
<div>Not currently in use</div>					

Receiving Member

OPTN: PMDET		PORTFOLIO MOVE DETAIL RECORD				6NOV15		12:17:35	
ACTN:						ARM		592	
DEL BRK NUMERIC CDE: 84		REC BRK NUMERIC CDE : 13							
DEL BRK ALPHA CDE...: JSE		REC BRK ALPHA CDE : ARM							
DEL BRK NAME: JSE SECURITIES		REC BRK NAME: AMORIM SECURITIES (P							
PORTFOLIO MOVE REF NO.: PM000000023		SETTLEMENT DATE : 20151106							
REASON: TRANSFERRED TO AMORIM SECURITIES									
DEL BRK ACCOUNT NAME					ACC CDE ACCOUNT NAME				
ACC CDE	INSTR	INSTR NAME	QUANTITY	PFV	COST				
-----	-----	-----	-----	-----	-----	-----	-----	-----	-----
1802024	SAMUELS	A				50039	SAMUELS	A	
	AFX	AFROX	2000		60000.00				
	AGL	ANGLO	704		207827.18				
	AMS	AMPLATS	600		399204.42				
	APN	ASPEN	4500		995626.27				
	ART	ARGENT	3000		47458.16				
	BIL	BHPBILL	2300		458433.72				
	BSR	BASREAD	4000		75625.43				
SELECT	DETAIL : Y	DTE: 20151106	TME: 19460404	USR: 592	SOURCE: BDPMSSEL				
AUTHORISE	DETAIL : Y	DTE: 20151106	TME: 19493333	USR: 592	SOURCE: BDPMDLV				
SAT	DETAIL :	DTE: 0	TME: 0	USR:	SOURCE:				
ACCEPT	DETAIL : Y	DTE: 20151106	TME: 19533838	USR: 592	SOURCE: BDPMREC				
F1 HELP	F2 RETURN	F7 BACK	F8 NEXT	F11 RIGHT	F12 EXIT				

Field Descriptions

DEL BRK NUMERIC CDE	DELIVERING BROKER NUMERIC CODE The delivering broker's numeric code will be displayed.
DEL BRK ALPHA CDE	DELIVERING BROKERS ALPHA CODE The above broker's alphas code will be displayed
DEL BRK NAME	DELIVERING BROKERS NAME The delivering brokers name will be displayed
PORTFOLIO MOVE REF NO	PORTFOLIO MOVE REFERENCE NUMBER The reference number assigned to the portfolio move by the system will be displayed
REC BRK NUMERIC CDE	RECEIVING BROKER NUMERIC CODE The receiving broker's numeric code will be displayed.
REC BRK ALPHA CDE	RECEIVING BROKERS ALPHA CODE The above broker's alphas code will be displayed
REC BRK NAME	RECEIVING BROKERS NAME The receiving brokers name will be displayed
SETTLEMENT DATE	SETTLEMENT DATE The Settlement date of the portfolio move will be displayed.
REASON	REASON The reason for the portfolio move will be displayed.

Detail - First Row:

DEL BRK ACC CDE	DELIVERING BROKER ACCOUNT CODE The account code in the delivering broker's books will be displayed
ACCOUNT NAME	ACCOUNT NAME The short name of the account in the delivering broker's books will be displayed
ACC-CDE	ACCOUNT CODE The account codes of the accounts in the receiving broker's books will be displayed. This field may not be populated in the delivering broker's books.

ACCOUNT NAME

ACCOUNT NAME

The account name of the above account will be displayed

Detail - Second Row:

INSTR

INSTRUMENT

The instrument code of the instruments delivered will be displayed

INSTR NAME

INSTRUMENT NAME

The name of the above instrument will be displayed

QUANTITY

QUANTITY

The quantity of shares moved for the instrument will be displayed.

PFV COST

PORTFOLIO COST

The portfolio cost total of the shares transferred will be displayed.

Function Keys:

- F1 HELP facility
- F2 RETURN to previous screen
- F7 Page BACK to Previous Page once paged forward
- F8 Page forward to NEXT Page if more entries exist
- F12 Exit BDA

Receiving Member - Right Panel

OPTN: PMDETR		PORTFOLIO MOVE DETAIL RECORD			6NOV15	12:20:54
ACTN:		005:START OF FILE			ARM	592
DEL BRK NUMERIC CDE: 84		REC BRK NUMERIC CDE : 13				
DEL BRK ALPHA CDE.: JSE		REC BRK ALPHA CDE : ARM				
DEL BRK NAME: JSE SECURITIES		REC BRK NAME: AMORIM SECURITIES (P				
PORTFOLIO MOVE REF NO.: PM000000023		SETTLEMENT DATE : 20151106				
REASON: TRANSFERRED TO AMORIM SECURITIES						
ACCOUNT	ACCOUNT NAME			TOTAL	SETTLE	
CODE	INSTR	INSTR NAME	SWIFT REFERENCE	QUANTITY	DATE	

1802024	SAMUELS A					
	AFX	AFROX	R000000000000 0		20151106	
	AGL	ANGLO	R000000000000 0		20151106	
	AMS	AMPLATS	R000000000000 0		20151106	
	APN	ASPEN	R000000000000 0		20151106	
	ART	ARGENT	R000000000000 0		20151106	
	BIL	BHPBILL	R000000000000 0		20151106	
	BSR	BASREAD	R000000000000 0		20151106	
SELECT	DETAIL : Y	DTE: 20151106	TME: 19460404	USR: 592	SOURCE: BDPMSEL	
AUTHORISE	DETAIL : Y	DTE: 20151106	TME: 19493333	USR: 592	SOURCE: BDPMDLV	
SAT	DETAIL :	DTE: 0	TME: 0	USR:	SOURCE:	
ACCEPT	DETAIL : Y	DTE: 20151106	TME: 19533838	USR: 592	SOURCE: BDPMREC	
F1 HELP	F2 RETURN	F7 BACK	F8 NEXT	F10 LEFT	F12 EXIT	

Detail - First Row:

ACCOUNT CODE

ACCOUNT CODE

The account code of the delivering broker will be displayed.

ACCOUNT NAME

ACCOUNT NAME

The short name of the above account will be displayed

Detail - Second Row:

INSTR

INSTRUMENT

The instrument code of the instruments delivered will be displayed

INSTR NAME

INSTRUMENT NAME

The name of the instruments will be displayed

SWIFT REFERENCE

SWIFT MESSAGE REFERENCE

For Future Use

TOTAL QUANTITY

TOTAL QUANTITY

For Future use

SETT DATE

SETTLEMENT DATE

Displays the Settlement Date when the Portfolio Move Transfer Instruction will settle or did settle at the CSDP

6.6 Portfolio Move Report

This report is produced intra-day on an adhoc basis either once the shares have been Selected or once they have been Delivered or for both Selected and Delivered.

OPTN: RPROC	BCS/A: UPDATE PROCESS REQUEST	06NOV15 09:38:47
ACTN:		JSE 592
PROCESS : PPFMOV	PORTFOLIO MOVES (ADHOC)	REQUEST: 001
RUN FREQUENCY : _	RUN DAY: _	QUARTER/HALFYEAR START MONTH: _
ONLINE / BATCH : ONLINE		
REQUEST PROCESSING PARAMETERS		
NAME	VALUE	
SELECT, DELIVER, ALL	S (D/S/A)	
START-DTE	00000000 (CCYYMMDD)	
END-DTE	00000000 (CCYYMMDD)	

Adhoc report - use '*' to request

Chose S (Selected), D (Delivered) or A (All)

Date range may be entered but system will default to current date if not entered

REQUEST OUTPUT DESTINATION(s) : LOCAL	_____	_____	_____	_____
COPIES : 01	_____	_____	_____	_____
FORM : STAD	_____	_____	_____	_____

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

The report allows for multiple shares to be listed for each account within the Portfolio Move.

RANGE START DATE	RANGE END DATE	SELECTION TYPE e.g. SELECT + DELIVER
<ul style="list-style-type: none"> • ACC_CDE • SHORT NAME • N/R • OPP BRK • OPP BRK NAME • TRF REF 		

- CREATE-DATE
- SETTLE DATE

- SHARE
- QUANTITY
- PORTFOLIO COST
- STATUS e.g. DELIVERED

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

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