

# DEAL MANAGEMENT UPLOAD SPECIFICATIONS

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## 1 REFERENCES

Document	Author	Version	Issue date
Technical Specification Deal Management Enhancements T + 3 Phase 2 - 2 <sup>nd</sup> Approach	Ingrid Smit	0.1	May 2013

## 2 VERSION CONTROL

Version	Updated By	Date	Reason for changes
0.1	Ingrid Smit	13 December 2013	New document
0.2	Barbara Teasdale	9 July 2014	Section on ALLOUP added
0.3	Barbara Teasdale	15 July 2014	Sections re-arranged
0.4	Barbara Teasdale	17 July 2014	Updates from Julian Amorim
0.5	Barbara Teasdale	16 August 2016	Change to the number of e-mail addresses permitted from 999 to 10
0.6	Chris Beilings	05 September 2016	Addition of new dataset for multiple successive file submissions.

## 3 COPYRIGHT

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## 4 DEAL MANAGEMENT UPLOAD FUNCTIONS

This manual covers the BDA upload functions that are available for the upload of Deals and Deal Allocations. The four options are:

- Manual Submission of Deal Allocations (Current Functionality)
- Automated Submission of Deal Allocations
- Automated Submission of Same Day Allocations
- Automated Submission of Deals

**Note:** As the Rand Indicator field (RI) is not included in any of the above layouts, it is not possible to upload an allocation against a ring fenced trade which has been booked free of value.

### 4.1 Manual Submission of Deal Allocations Upload

The current functionality for uploading the deal allocations via the ALLOUP process on RPROC will remain in place.

#### 4.1.1 Member Setup and FTP Process

To set-up the FTP option on BDA, the Member must perform the following procedure, which is a once off action.

The Member must go to MENUA, T, DSN (or MENUA, =T.DSN) and the following screen will be displayed.

OPTN: T.DSN	BCS/A: GENERAL TABLE MAINTENANCE	DDMMMCC HH:MM:SS
ACTN:		XXXX XXX
TABLE: DATASET NAMES	START BROWSING FROM:	
	INCL DEACTIVATED : N	
F BRK PROCS-CDE DESCRIPTION		
9 FINONL BBAP.SPRD.XXX.FILENAME		
N		
—		
—		
—		
—		
—		
—		
—		
PF1 HELP	PF2 RETURN	PF4 MENU PF7 PREV PF8 NEXT PF12 QUIT

Enter an 'N' in the 'F'unction column to insert the new data set name as per below.

OPTN: T.DSN	BCS/A: GENERAL TABLE MAINTENANCE	DDMMCC HH:MM:SS
ACTN:		XXXX XXX
TABLE: DATASET NAMES	START BROWSING FROM:	
	INCL DEACTIVATED : N	
F BRK PROCS-CDE	DESCRIPTION	
9 FINONL	BBAP.SPRD.FILENAME	
N 9 ALLOUP	BBAP.SPRD.XXX.ALLOC	
PF1 HELP	PF2 RETURN	PF4 MENU PF7 PREV PF8 NEXT PF12 QUIT

The Member will then generate a flat file at his own site and then FTP the flat file to the JSE Securities Exchange mainframe (BBAP.SPRD.xxx.ALLOC where xxx = broker alpha code). The FTP will be as per normal arrangements made by the JSE Securities Exchange and the Member. The Member will then schedule his FTP upload.

The Member must login to BDA, and then go to MENUA, RPROC. Within RPROC the Member must find the ALLOUP transaction and enter a 'N' in the "FUNCT" column.

OPTN: RPROC	BCS/A: UPDATE PROCESS REQUEST	DDMMCC HH:MM:SS
ACTN:		XXXX XXX
PROCESS : ALLOUP	BROKER ALLOCATION UPLOAD	REQUEST: 001
RUN FREQUENCY : *	RUN DAY: QUARTER/HALFYEAR	START MONTH:
ONLINE / BATCH : ONLINE		
REQUEST PROCESSING PARAMETERS		
NAME	VALUE	
EMAIL ID 1	NAME@MEMBER.CO.ZA	
EMAIL ID 2	NAME@MEMBER.COM	
EMAIL ID 3		
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 highlighted fields above must be entered and at least 1 e-mail address must be present.

When the job has completed, an e-mail will be sent to the address/es captured to inform the outcome of the upload.

When enter is pressed, control returns to the RPROC screen and the job name will appear at the top of the screen as a reference job number.

Once the Member submits the job, the input file is read, validated and uploaded into DLDIR. Members can load as many files as they want on condition that the previous file has been processed i.e. once an e-mail notification has been received, only then may a new flat file be loaded.

Once the upload has taken place, the Member must follow the same procedures as per the Electronic Trade Confirmation Training Document in confirming the allocations.

Refer to FILE LAYOUT for the layout and details of the flat file.

The e-mail returned to the Member submitting the upload will contain the following information:-

> Subject: BBPRQP71 COMPLETED SUCCESSFULLY

> Auto forwarded by a Rule

>

\*\*\*\*\*

```
BROKER-CODE      : -052
RECORDS READ     : -0000020
MESSAGE RECORDS  : -0000002
RECORDS ACCEPTED : -0000016
RECORDS REJECTED : -0000002
```

XXXDETAILS OF MESSAGE LINE 1

XXXDETAILS OF MESSAGE LINE 2

\*\*\*\*\*

The 'BROKER-CODE' displays the Member sending the flat file.

The 'RECORDS READ' displays the total number of records read.

The 'MESSAGE RECORDS' displays the number of comment records on the flat file.

The 'RECORDS ACCEPTED' displays the number of records loaded to BDA.

The 'RECORDS REJECTED' displays the number of records rejected. See below.

Two lines of details are displayed as per the Member comment set-up within the flat file.

Where records are rejected, the Member can log on to BDA to view the errors. The Member must then go to MENUA, COMPR. Within COMPR the Member must enter 'ALLO' and the current date as below:-

OPTN: COMPR	BCS/A: COMMON ERROR ENQUIRY	DMMCC2	HH:MM:SS
ACTN:	807:ENTER HIGHLIGHTED FIELDS	XXXX	XXX
ERROR FORMAT CODE: ALLO		ERROR PROCESS DATE: CCYYMMDD	
PF1 HELP   PF2 RETURN   PF4 MENU   PF5 TABLES   PF7/8 PAGE   PF11 -->   PF12 QUIT			

The following screen will appear with the errors for the format and date specified.

OPTN: COMPR	BCS/A: COMMON ERROR ENQUIRY	DMMYY	HH:MM:SS
ACTN:		XXXX	XXX
ERROR FORMAT CODE: ALLO		ERROR PROCESS DATE: CCYYMMDD	
FTP ALLOCATION ERRORS			
BRK ACC-CDE ERROR-MESSAGE			
_ XXX 5678345 TRADE QUANTITY MUST BE ENTERED _ XXX 9238746 ALLOCATION ACCOUNT NOT FOUND _ XXX 5628730 REFERENCE ORDER NUMBER IS NOT NUMERIC _ XXX 2346789 TRADE QUANTITY MUST BE ENTERED _ XXX 1234567 INSTRUMENT ISIN/ALPHA IS INVALID			
PF1 HELP   PF2 RETURN   PF4 MENU   PF5 TABLES   PF7/8 PAGE   PF11 -->   PF12 QUIT			

The errors highlighted above must either be captured manually on DDIR or resent as a flat file before the BDA batch run initiates. Only the errors need to be recaptured or resent.

#### 4.1.2 Member Allocation Procedure

Where Members use FTP of allocations, the Member will have to confirm the allocation. This confirmation is to allow the Member to view the allocation and add or change any details before the BDA batch run. Where an allocation is not confirmed, BDA will reject the allocation during its batch run. On DLDIR panel 2, there is a ETC indicator. This will appear with a 'Y' to show that the allocation was done using ETC/FTP and the Member must remove the 'Y' to confirm that the Member has accepted the allocation. The Member can change the allocation details or he can delete the allocation whereby the Member must resend the allocation or capture it manually.

In the highlighted example below, panel 2 has 'Y's in the ETC indicator column for certain allocations. These 'Y's identify that the allocations have come from ETC/FTP. If the Member does not remove the 'Y's, the allocations will be rejected in the batch run. If the Member removes the 'Y's, he accepts the allocation and BDA will generate contract notes and forward them to the account holder during the BDA run on condition that there are no processing errors.

**Note: The need to update the ETC Indicator manually each time on DLDIR may be overridden per allocation account by changing the Automatic Upload Verification Indicator on STMNT to 'Y'.**

DLDIR panel 1

OPTN: DLDIR		BCS/A:		DIRECT DEALS				DDMMMCC		HH:MM:SS	
ACTN:								XXXX		XXX	
		P/						INNER		OUTER	
								ACCOUNT		ACCOUNT	
F	TYP	PAGE	L	S	QTY	INSTR	A	PRICE		DEAL	TERMS
A	_	G0097992	1	S	400	E SAP	A	.00	18058	785655	AL
B	_	G0097993	1	S	306	E SAP	A	.00	42058	832222	AL
C	_	G0097994	1	S	600	E SAP	A	.00	42058	557320	AL
D	_	G0097995	1	S	250	E SAP	A	.00	42058	373555	AL
E	_	G0097996	1	S	413	E SAP	A	.00	48338	962222	AL
F	_	G0097997	1	S	100	E SAP	A	.00	48458	996324	AL
G	_	G0097998	1	S	200	E SAP	A	.00	48055	926261	AL
H	_	G0097999	1	S	300	E SAP	A	.00	42358	1664533	AL
I	_	G0098000	1	S	912	E SAP	A	.00	44428	3476777	AL
J	_	G0098001	1	S	300	E SAP	A	.00	44566	7434576	AL
K	_	G0098002	1	S	700	E SAP	A	.00	43498	1265669	AL
L	_	G0098003	1	S	500	E SAP	A	.00	49808	994545	AL
M	_	G0098004	1	S	150	E SAP	A	.00	12345	7224435	AL
N	_	G0098005	1	P	100	E APN		670.00	42931	3775452	AL
O	_	G0098006	1	P	500	E APN		670.00	43844	6745324	AL
P	_	G0098007	1	P	700	E APN		670.00	44733	6243435	AL
Q	_	G0098008	1	P	600	E APN		670.00	45632	6234444	AL
1 HELP 2 RETURN 4 MENU 5 TABLES 7 PREV 8 NEXT 11 --> 12 QUIT											



## DLDIR panel 2

OPTN: DLDIR		BCS/A:		DIRECT DEALS				DDMMCC		HH:MM:SS	
ACTN:								XXX		XXX	
CONS	STRIKE	CLIENT	EXTERNAL	ETC	OPTION	CHG	NEGOTIATED	COMM			
INDS	PRICE	REF.ORD	ACC	CODE	IND	A/P	ID	CDE	COMMISSION	IND	SCALE
A	___	___	___	___	___	___	___	___	___	___	___
B	___	___	___	___	___	___	___	___	___	___	___
C	___	___	___	___	___	___	___	___	___	___	___
D	___	0000011	___	___	Y	___	___	___	___	___	___
E	___	0000011	___	___	Y	___	___	___	___	___	___
F	___	0000011	___	___	Y	___	___	___	___	___	___
G	___	0000011	___	___	Y	___	___	___	___	___	___
H	___	0000011	___	___	Y	___	___	___	___	___	___
I	___	___	___	___	___	___	___	___	___	___	___
J	___	___	___	___	___	___	___	___	___	___	___
K	___	___	___	___	___	___	___	___	___	___	___
L	___	___	___	___	___	___	___	___	___	___	___
M	___	___	___	___	___	___	___	___	___	___	___
N	___	___	___	___	___	___	___	___	___	___	___
O	___	___	___	___	___	___	___	___	___	___	___
P	___	___	___	___	___	___	___	___	___	___	___
Q	___	___	___	___	___	___	___	___	___	___	___
PF1 HELP PF2 RETURN PF4 MENU PF5 TABLES PF7 PREV PF8 NEXT PF10 <-- PF12 QUIT											

### 4.1.3 Upload File layout

The BDALLOUP module uploads allocations from a FTP'd flat file created by the Member. Allocations rejected can be viewed on COMPR or PCOMPR.

The following is the layout for a FTP trade allocations file from a Member:-

FIELD	FMT(LEN)	START – END	NOTES
<b>BROKER-CODE</b>	<b>9(3)</b>	<b>001 – 003</b>	<b>M numeric broker code</b>
REFERENCE-PAGE-NO	X(10)	004 – 013	O Must be spaces
REFERENCE-LINE-NO	X(2)	014 – 015	O Must be spaces
<b>ACCOUNT-CODE</b>	<b>9(7)</b>	<b>016 – 022</b>	<b>M (BDA) if no external account code</b>
<b>PURCHASE/SELL-INDICATOR</b>	<b>X(1)</b>	<b>023 – 023</b>	<b>M 'P'urchase or 'S'ell</b>
<b>PRICE</b>	<b>9(7)V9(4)</b>	<b>024 – 034</b>	<b>O if 0, average will be assumed</b>
<b>QUANTITY</b>	<b>9(11)</b>	<b>035 – 045</b>	<b>M numeric value &gt; 0</b>
CHARGE-STRUCTURE-CODE	X(2)	046 – 047	O Must be spaces
CON-CHARGE-INDICATOR	X(1)	048 – 048	O Must be spaces
CONSOLIDATE-NOTE-INDICATOR	X(2)	049 – 050	O Must be spaces

TERMS-INPUT	X(8)	051 – 058	O Must be spaces - defaults to 'AL'
REFERENCE-ALPHA	X(2)	059 – 060	O Must be spaces
REFERENCE-ORDER-NUMBER	9(7)	061 – 067	O Must be numeric
<b>EXTERNAL-ACCOUNT-CODE</b>	<b>X(7)</b>	<b>068 – 074</b>	<b>M if no account code</b>
INSTRUMENT-TYPE	X(1)	075 – 075	O Must be E for Equity
<b>INSTRUMENT-ALPHA</b>	<b>X(6)</b>	<b>076 – 081</b>	<b>M JSE share code</b>
<b>OTHER-ACCOUNT-CODE</b>	<b>9(7)</b>	<b>082 – 088</b>	<b>M (BDA) allocation account</b>
NEGOTIATED-COMMISSION	9(13)V9(4)	089 – 105	O Must be zeroes
NEGOTIATED-SCALE	X(3)	106 – 108	O Must be spaces
NEGOTIATED-PERCENT-INDICATOR	X(1)	109 – 109	O Must be spaces
<b>TRADE-CAPACITY</b>	<b>X(1)</b>	<b>110 – 110</b>	<b>M 'A'gency or 'P'incipal</b>
<b>AVERAGE-INDICATOR</b>	<b>X(1)</b>	<b>111 – 111</b>	<b>O '*' if price = 0</b>
<b>ISIN</b>	<b>X(12)</b>	<b>112 – 123</b>	<b>M ISIN number</b>
<b>COUNTRY-CODE</b>	<b>X(2)</b>	<b>124 – 125</b>	<b>M 1<sup>st</sup> 2 bytes of ISIN</b>
<b>FUND-CODE</b>	<b>X(3)</b>	<b>126 – 128</b>	<b>M If external-account-code is used</b>
<b>NON-BDA</b>	<b>X(1)</b>	<b>129 – 129</b>	<b>M Non-BDA only else space – see @</b>
FILLER	X(7)	130 – 136	O Must be spaces
JSE-PROCESS-DATE	9(8)	137 – 144	X Must be zeroes
JSE-PROCESS-TIME	9(6)	145 – 150	Y Must be zeroes
	-----	-----	
	150	001 – 150	
	====	=====	

#### Notes:

- M** = **Mandatory fields**
- O** = **Optional fields**
- @** = This field must be set to 'N' for Members doing prime brokering.
- X** = Not available – date when JSE processed record - fields for BDA usage.
- Y** = Not available – time when JSE processed record - fields for BDA usage.

NB. All fields mandatory or optional must be space or zero filled. Fields are positional.

Any record within the FTP'd flat file where the broker-code = 'XXX' will be deemed a comment record and will not be processed. There should only be 2 records with broker-code = 'XXX' and these details will be displayed on the e-mail on confirmation of the upload. Details on these comment lines must be between columns 4 and 80.

#### 4.1.4 External Account Code

Great care must be taken when using the external-account-code. On BDA BDSNMNT, an external-account-code can be captured against a BDA account-code. Where an external-account-code is used, the fund-code must be attached to the external-account-code i.e. Old Mutual fund manager with an external-account-code of 'TRMD01' would be

captured as 'OMTTRMD01'. The FTP file has a specific field for the external-account-code and the fund code and they are NOT combined. Customer support will issue fund manager codes so as to standardise all members and fund managers.

The following ETC Fund Codes are currently available: -

<b>RMB</b>	-	RMB Asset Management
<b>LLA</b>	-	Liberty Asset Management
<b>IAM</b>	-	Investec Asset Management
<b>OMT</b>	-	Old Mutual Asset Management
<b>COA</b>	-	Coronation Asset Management
<b>AHA</b>	-	African Harvest Asset Management
<b>AGI</b>	-	Allan Gray Limited
<b>AMZ</b>	-	HSBC Asset Management
<b>FNI</b>	-	Franklin Templeton NIB Asset Management

## 4.2 Automated Submission of Deal Allocations Upload

The Automated Deal Allocation upload ALLUPO is similar to the current Manual Upload process ALLOUP but there is no requirement for users to schedule the processing of the upload file via RPROC. The user must FTP the upload dataset to the JSE where a batch job will automatically be submitted (via CONTROL-O) to process the uploaded records.

**Note: The need to update the ETC Indicator manually each time on DLDIR may be overridden per allocation account by changing the Automatic Upload Verification Indicator on STMNT to 'Y'.**

The dataset to be uploaded will have the following format:

BBAP.SPRD.UPLOAD.XXX.ALLUPO, the 'XXX' depicting the relevant 2 or 3 character broker alpha code.

A Member will be notified via the captured e-mail address whether the job has been successfully processed.

See section 5 on further information regarding update of e-mail addresses for ALLUPO. This would be a once off set up of e-mail addresses for all uploads requested.

If not successful, the reasons, per line can be found on COMPR or on the report PCOMPR with error format code of 'ALLU' as per the Upload errors.

In addition to the COMPR notifications, a new response dataset will be created with the same dataset name as the upload file with the SEQUENCE number (as passed on the header record) appended to the end of the original file name

Example:

BBAP.SPRD.UPLOAD.XXX.ALLUPO.SYYYYYYY

The 'XXX' depicting the relevant 2 or 3 character broker alpha code

The 'YYYYYYY' depicting the sequence number as passed on the header record. See below for the record layout

It is recommended that sequence numbers are not reused. No verification is made on sequence numbers with respect to missing sequences. This is solely used to match an upload file to its respective response file. Should a sequence number be repeated by a member in that day then the applicable file will be overwritten.

Each file uploaded will be archived onto the daily upload file backup.

The response file will also be archived onto a daily response upload file backup. The length of archive is still to be determined.

### 4.2.1 Upload File layout

The file would consist of:

- |                                  |                 |
|----------------------------------|-----------------|
| - A Header record                | CARD CODE '000' |
| - Deals Upload details record(s) | CARD CODE '102' |

- A Trailer record

CARD CODE '999'

a) Header record

BDA FIELD NAME	LENGTH	VALUE
CARD-CODE	9(3)	0
BRK-CDE	9(3)	
DATE	9(8)	
TIME	9(6)	
PREFIX	X	'S' Hardcoded Prefix for sequence number
SEQUENCE	9(7)	
PRINTER-ID	X(4)	

Below are the header record fields and validation rules

Field Name	Mandatory/ Optional	Data Type	Data Length	Values	Validation
CARD-CODE	M	NUMERIC	9(3)	000	0
BRK-CDE	M	NUMERIC	9(3)		Validated against BROKM on BDA
DATE	M	NUMERIC	9(8)	Process date	CCYYMMDD
TIME	M	NUMERIC	9(6)	Process Time	HHMMSS
PREFIX	M	CHARACTER	X	"S"	Hardcoded "S" - prefix to sequence for the file extension name of output file
SEQUENCE	M	CHARACTER	9(7)	Any unique sequence - alphanumeric	Broker controlled unique sequence (note: would be prefixed by 'S' for file extension)  If this number is not incremented, the previous upload data will be overwritten
PRINTER-ID	M	CHARACTER	X(4)	Spaces	

b) Allocations Upload Detail record

BDA FIELD NAME	FMT(LEN)	START/END	NOTES
CARD-CODE	9(3)	001 – 003	M numeric broker code, value 102
BROKER-CODE	9(3)	004 – 006	M numeric broker code
REFERENCE-PAGE-NO	X(10)	007 – 016	O Must be spaces

REFERENCE-LINE-NO	X(2)	017 – 018	O Must be spaces
ACCOUNT-CODE	9(7)	019 – 025	M (BDA) if no external account code
PURCHASE/SELL-INDICATOR	X(1)	026 – 026	M 'P'urchase or 'S'ell
PRICE	9(7)V9(4)	027 – 037	O if 0, average will be assumed
QUANTITY	9(11)	038 – 048	M numeric value > 0
CHARGE-STRUCTURE-CODE	X(2)	049 – 050	O Must be spaces
CON-CHARGE-INDICATOR	X(1)	051 – 051	O Must be spaces
CONSOLIDATE-NOTE-INDICATOR	X(2)	052 – 053	O Must be spaces
TERMS-INPUT	X(8)	054 – 061	O Must be spaces - defaults to 'AL'
REFERENCE-ALPHA	X(2)	062 – 063	O Must be spaces
REFERENCE-ORDER-NUMBER	9(7)	064 – 070	O Must be numeric
EXTERNAL-ACCOUNT-CODE	X(7)	071 – 077	M if no account code
INSTRUMENT-TYPE	X(1)	078 – 078	O Must be E for Equity
INSTRUMENT-ALPHA	X(6)	079 – 084	M JSE share code
OTHER-ACCOUNT-CODE	9(7)	085 – 091	M (BDA) allocation account
NEGOTIATED-COMMISSION	9(13)V9(4)	092 – 108	O Must be zeroes
NEGOTIATED-SCALE	X(3)	109 – 111	O Must be spaces
NEGOTIATED-PERCENT-INDICATOR	X(1)	112 – 112	O Must be spaces
TRADE-CAPACITY	X(1)	113 – 113	M 'A'gency or 'P'incipal
AVERAGE-INDICATOR	X(1)	114 – 114	O '*' if price = 0
ISIN	X(12)	115 – 126	M ISIN number
COUNTRY-CODE	X(2)	127 – 128	M 1 <sup>st</sup> 2 bytes of ISIN
FUND-CODE	X(3)	129 – 131	M If external-account-code is used
NON-BDA	X(1)	132 – 132	M Non-BDA only else space – see @
FILLER	X(18)	133 – 150	O Must be spaces
	----	-----	
	150	001 – 150	
	===	=====	

#### c) Deals Upload Trailer record

BDA FIELD NAME	LENGTH	VALUE
CARD-CODE	9(3)	999
BRK-CDE	9(3)	
DATE	9(8)	
TIME	9(6)	
TOTAL RECORDS	9(9)	
RECORDS PROCESSED	9(9)	
RECORDS REJECTED	9(9)	
FILLER	X(3)	

Below are the Trailer record fields and validation rules

Field Name	Mandatory/ Optional	Data Type	Data Length	Values	Validation
CARD-CODE	M	NUMERIC	9(3)	999	999
BRK-CDE	M	NUMERIC	9(3)		Validated against BROKM on BDA
DATE	M	NUMERIC	9(8)	Process date	CCYYMMDD
TIME	M	NUMERIC	9(6)	Process Time	HHMMSS
TOTAL RECORDS	M	NUMERIC	9(9)	Total number of records(excluding any header and trailer records)	Must be filled to ensure all the records received. Total number of records(excluding any header and trailer records) Ensure the total number of records tie back to the total number passed in file. If not, reject the whole file.
RECORDS PROCESSED	M	NUMERIC	9(9)	Total number of successfully processed records	Number of successfully processed records (including sub headers, all records between the header and trailer records)
RECORDS REJECTED	M	NUMERIC	9(9)	Total number of rejected records	Number of rejected records (including sub headers, all records between the header and trailer records)
FILLER	M	CHARACTER	X(3)	Spaces	

### 4.3 Automated Submission of Same Day Allocations Upload

BDSDAYUP is an allocation upload for the released allocation accounts on Trade day (Same Day). The Same Day Allocations upload is processed and displayed for view and update on the SDALL screen. The age date on this upload must be the same as the BDA Online date.

**Note: The need to update the ETC Indicator manually each time on SDALL may be overridden per allocation account by changing the Automatic Upload Verification Indicator on STMNT to 'Y'.**

The user is required to FTP the upload dataset to the JSE. On completion of the FTP upload, a batch job will automatically be submitted (via CONTROL-O) to process the uploaded records. Users are not required to schedule the processing of the upload file via RPROC.

The dataset to be uploaded will have the following format:

BBAP.SPRD.UPLOAD.XXX.SDAYUP, the 'XXX' depicting the relevant 2 or 3 character broker alpha code.

A Member will be notified via the captured e-mail address whether the job has been successfully processed.

See section 5 on further information regarding update of e-mail address for the SDAYUP. This would be a once off set up of e-mail addresses for all uploads requested.

If not successful, the reasons, per line can be found on COMPR or on the report PCOMPR with error format code of 'SDAY' as per the Upload errors.

In addition to the COMPR notifications, a new response dataset will be created with the same dataset name as the upload file with the SEQUENCE number (as passed on the header record) appended to the end of the original file name

Example:

BBAP.SPRD.UPLOAD.XXX.SDAYUP.SYYYYYYY

The 'XXX' depicting the relevant 2 or 3 character broker alpha code

The 'YYYYYYY' depicting the sequence number as passed on the header record. See below for the record layout

It is recommended that sequence numbers are not reused. No verification is made on sequence numbers with respect to missing sequences. This is solely used to match an upload file to its respective response file. Should a sequence number be repeated by a member in that day then the applicable file will be overwritten.

Each file uploaded will be archived onto the daily upload file backup.

The response file will also be archived onto a daily response upload file backup. The length of archive is still to be determined.



#### 4.3.1 Upload File layout

The file would consist of:

- A Header record CARD CODE '000'
- Same Day Allocations Upload details record(s) CARD CODE '100'
- A Trailer record CARD CODE '999'

##### a) Header record

BDA FIELD NAME	LENGTH	VALUE
CARD-CODE	9(3)	0
BRK-CDE	9(3)	
DATE	9(8)	
TIME	9(6)	
PREFIX	X	'S' Hardcoded Prefix for sequence number
SEQUENCE	9(7)	

Below are the header record fields and validation rules

Field Name	Mandatory/ Optional	Data Type	Data Length	Values	Validation
CARD-CODE	M	NUMERIC	9(3)	000	0
BRK-CDE	M	NUMERIC	9(3)		Validated against BROKM on BDA
DATE	M	NUMERIC	9(8)	Process date	CCYYMMDD
TIME	M	NUMERIC	9(6)	Process Time	HHMMSS
PREFIX	M	CHARACTER	X	"S"	Hardcoded "S" - prefix to sequence for the file extension name of output file
SEQUENCE	M	CHARACTER	9(7)	Any unique sequence - alphanumeric	Broker controlled unique sequence (note: would be prefixed by 'S' for file extension) If this number is not incremented, the previous upload data will be overwritten

##### b) Same Day Upload Detail record

BDA FIELD NAME	FMT(LEN)	START/END	NOTES
CARD-CODE	9(3)	001 – 003	M numeric broker code, Value 100
BROKER-CODE	9(3)	004 – 006	M numeric broker code

REFERENCE-PAGE-NO	X(10)	007 – 016	O Must be spaces
REFERENCE-LINE-NO	X(2)	017 – 018	O Must be spaces
ACCOUNT-CODE	9(7)	019 – 025	M (BDA) if no external account code
PURCHASE/SELL-INDICATOR	X(1)	026 – 026	M 'P'urchase or 'S'ell
PRICE	9(7)V9(4)	027 – 037	O if 0, average will be assumed
QUANTITY	9(11)	038 – 048	M numeric value > 0
CHARGE-STRUCTURE-CODE	X(2)	049 – 050	O Must be spaces
CON-CHARGE-INDICATOR	X(1)	051 – 051	O Must be spaces
CONSOLIDATE-NOTE-INDICATOR	X(2)	052 – 053	O Must be spaces
TERMS-INPUT	X(8)	054 – 061	O Must be spaces - defaults to 'AL'
REFERENCE-ALPHA	X(2)	062 – 063	O Must be spaces
REFERENCE-ORDER-NUMBER	9(7)	064 – 070	O Must be numeric
EXTERNAL-ACCOUNT-CODE	X(7)	071 – 077	M if no account code
INSTRUMENT-TYPE	X(1)	078 – 078	O Must be E for Equity
INSTRUMENT-ALPHA	X(6)	079 – 084	M JSE share code
OTHER-ACCOUNT-CODE	9(7)	085 – 091	M (BDA) allocation account
NEGOTIATED-COMMISSION	9(13)V9(4)	092 – 108	O Must be zeroes
NEGOTIATED-SCALE	X(3)	109 – 111	O Must be spaces
NEGOTIATED-PERCENT-INDICATOR	X(1)	112 – 112	O Must be spaces
TRADE-CAPACITY	X(1)	113 – 113	M 'A'gency or 'P'rincipal
AVERAGE-INDICATOR	X(1)	114 – 114	O '*' if price = 0
ISIN	X(12)	115 – 126	M ISIN number
COUNTRY-CODE	X(2)	127 – 128	M 1 <sup>st</sup> 2 bytes of ISIN
FUND-CODE	X(3)	129 – 131	M If external-account-code is used
NON-BDA	X(1)	132 – 132	M Non-BDA only else space – see @
FILLER	X(18)	133 – 150	O Must be spaces
	-----	-----	
	150	001 – 150	
	===	=====	

c) Deals Upload Trailer record

BDA FIELD NAME	LENGTH	VALUE
CARD-CODE	9(3)	999
BRK-CDE	9(3)	
DATE	9(8)	
TIME	9(6)	
TOTAL RECORDS	9(9)	
RECORDS PROCESSED	9(9)	
RECORDS REJECTED	9(9)	
FILLER	X(3)	

Below are the Trailer record fields and validation rules

Field Name	Mandatory/ Optional	Data Type	Data Length	Values	Validation
CARD-CODE	M	NUMERIC	9(3)	999	999
BRK-CDE	M	NUMERIC	9(3)		Validated against BROKM on BDA
DATE	M	NUMERIC	9(8)	Process date	CCYYMMDD
TIME	M	NUMERIC	9(6)	Process Time	HHMMSS
TOTAL RECORDS	M	NUMERIC	9(9)	Total number of records(excluding any header and trailer records)	Must be filled to ensure all the records received. Total number of records(excluding any header and trailer records) Ensure the total number of records tie back to the total number passed in file. If not, reject the whole file.
RECORDS PROCESSED	M	NUMERIC	9(9)	Total number of successfully processed records	Number of successfully processed records (including sub headers, all records between the header and trailer records)
RECORDS REJECTED	M	NUMERIC	9(9)	Total number of rejected records	Number of rejected records (including sub headers, all records between the header and trailer records)
FILLER	M	CHARACTER	X(3)	Spaces	

#### 4.4 Automated Submission of Deals Upload

The Deals Upload program BDDLSUPL is based on the pre-dated deal concept and is processed in near real-time, once the file is accepted. Each deal must contain an inner and outer account, instrument alpha and age-date etc., the same as ALLOUP (Allocations Upload) currently.

**Note: These deals are not uploaded into any front-end panel.**

The user is required to FTP the upload dataset to the JSE. On completion of the FTP upload, a job will automatically be submitted (via CONTROL-O) to process the uploaded records. It is not necessary to schedule the processing of the upload file via RPROC.

The dataset to be uploaded will have the following format:

BBAP.SPRD.UPLOAD.XXX.DLSUPL, the 'XXX' depicting the relevant 2 or 3 character broker alpha code.

A Member will be notified via the captured e-mail address whether the job has been successfully processed.

See section 5 on further information regarding update of e-mail addresses for the DLSUPL. This would be a once off set up of e-mail addresses for all uploads requested.

If not successful, the reasons, per line can be found on COMPR or on the report PCOMPR with error format code of 'DLSU' as per the Upload errors.

In addition to the COMPR notifications, a new response dataset will be created with the same dataset name as the upload file with the SEQUENCE number (as passed on the header record) appended to the end of the original file name

Example:

BBAP.SPRD.UPLOAD.XXX.DLSUPL.SYYYYYYY

The 'XXX' depicting the relevant 2 or 3 character broker alpha code

The 'YYYYYYY' depicting the sequence number as passed on the header record. See below for the record layout

It is recommended that sequence numbers are not reused. No verification is made on sequence numbers with respect to missing sequences. This is solely used to match an upload file to its respective response file. Should a sequence number be repeated by a member in that day then the applicable file will be overwritten.

Each file uploaded will be archived onto the daily upload file backup.

The response file will also be archived onto a daily response upload file backup. The length of archive is still to be determined.

A second deals upload dataset has been created and is available to all members using the BBAP.SPRD.UPLOAD.XXX.DLSUPL dataset.

This second dataset is specifically designed for those members who have the requirement to upload multiple files in quick succession.

To make use of this functionality, the dataset name to upload to is BBAP.SPRD.UPLOAD.XXX.DLSUPL.G(+1)

The file layout and response file names are exactly the same as for the uploads to BBAP.SPRD.UPLOAD.XXX.DLSUPL.

**\*Important to note** – Uploads to the BBAP.SPRD.UPLOAD.XXX.DLSUPL.G(+1) dataset must contain a unique sequence number. Files uploaded to this dataset with a sequence number which had already been used will be ignored by the deals upload program.

#### 4.4.1 Upload File layout

The file would consist of:

- A Header record CARD CODE '000'
- Deals Upload details record(s) CARD CODE '101'
- A Trailer record CARD CODE '999'

a) Header record

BDA FIELD NAME	LENGTH	VALUE
CARD-CODE	9(3)	0
BRK-CDE	9(3)	
DATE	9(8)	
TIME	9(6)	
PREFIX	X	'S' (Hardcoded Prefix for sequence number)
SEQUENCE	9(7)	
PRINTER-ID	X(4)	

Below are the header record fields and validation rules

Field Name	Mandatory/ Optional	Data Type	Data Length	Values	Validation
CARD-CODE	M	NUMERIC	9(3)	000	0
BRK-CDE	M	NUMERIC	9(3)		Validated against BROKRM on BDA
DATE	M	NUMERIC	9(8)	Process date	CCYYMMDD
TIME	M	NUMERIC	9(6)	Process Time	HHMMSS
PREFIX	M	CHARACTER	X	"S"	Hardcoded "S" - prefix to sequence for the file extension name of output file



SEQUENCE	M	CHARACTER	9(7)	Any unique sequence - alphanumeric	Broker controlled unique sequence (note: would be prefixed by 'S' for file extension)  If this number is not incremented, the previous upload data will be overwritten
PRINTER-ID	M	CHARACTER	X(4)	ELEC	

b) Deals Upload Detail record

BDA FIELD NAME	FMT(LEN)	START/END	NOTES
CARD-CODE	9(3)	001 – 003	M numeric broker code, Value 101
BROKER-CODE	9(3)	004 – 006	M numeric broker code
REFERENCE-PAGE-NO	X(10)	007 – 016	O Must be spaces
REFERENCE-LINE-NO	X(2)	017 – 018	O Must be spaces
ACCOUNT-CODE	9(7)	019 – 025	M (BDA) if no external account code
PURCHASE/SELL-INDICATOR	X(1)	026 – 026	M 'P'urchase or 'S'ell
PRICE	9(7)V9(4)	027 – 037	O if 0, average will be assumed
QUANTITY	9(11)	038 – 048	M numeric value > 0
CHARGE-STRUCTURE-CODE	X(2)	049 – 050	O Must be spaces
CON-CHARGE-INDICATOR	X(1)	051 – 051	O Must be spaces
CONSOLIDATE-NOTE-INDICATOR	X(2)	052 – 053	O Must be spaces
TERMS-INPUT	X(8)	054 – 061	O Must be spaces - defaults to 'AL'
REFERENCE-ALPHA	X(2)	062 – 063	O Must be spaces
REFERENCE-ORDER-NUMBER	9(7)	064 – 070	O Must be numeric
EXTERNAL-ACCOUNT-CODE	X(7)	071 – 077	M if no account code
INSTRUMENT-TYPE	X(1)	078 – 078	O Must be E for Equity
INSTRUMENT-ALPHA	X(6)	079 – 084	M JSE share code
OTHER-ACCOUNT-CODE	9(7)	085 – 091	M (BDA) allocation account
NEGOTIATED-COMMISSION	9(13)V9(4)	092 – 108	O Must be zeroes
NEGOTIATED-SCALE	X(3)	109 – 111	O Must be spaces
NEGOTIATED-PERCENT-INDICATOR	X(1)	112 – 112	O Must be spaces
TRADE-CAPACITY	X(1)	113 – 113	M 'A'gency or 'P'incipal
AVERAGE-INDICATOR	X(1)	114 – 114	O '*' if price = 0
ISIN	X(12)	115 – 126	M ISIN number
COUNTRY-CODE	X(2)	127 – 128	M 1 <sup>st</sup> 2 bytes of ISIN
FUND-CODE	X(3)	129 – 131	M If external-account-code is used
NON-BDA	X(1)	132 – 132	M Non-BDA only else space – see @
TRADE-DATE	9(8)	133 – 140	M CCYYMMDD Today or previous business date

FILLER	X(10)	141 – 150	O Must be spaces
	-----	-----	
	150	001 – 150	
	=====	=====	

c) Deals Upload Trailer record

BDA FIELD NAME	LENGTH	VALUE
CARD-CODE	9(3)	999
BRK-CDE	9(3)	
DATE	9(8)	
TIME	9(6)	
TOTAL RECORDS	9(9)	
RECORDS PROCESSED	9(9)	
RECORDS REJECTED	9(9)	
FILLER	X(3)	

Below are the Trailer record fields and validation rules

Field Name	Mandatory/Optional	Data Type	Data Length	Values	Validation
CARD-CODE	M	NUMERIC	9(3)	999	999
BRK-CDE	M	NUMERIC	9(3)		Validated against BROKM on BDA
DATE	M	NUMERIC	9(8)	Process date	CCYYMMDD
TIME	M	NUMERIC	9(6)	Process Time	HHMMSS
TOTAL RECORDS	M	NUMERIC	9(9)	Total number of records(excluding any header and trailer records)	Must be filled to ensure all the records received. Total number of records(excluding any header and trailer records) Ensure the total number of records tie back to the total number passed in file. If not, reject the whole file.

RECORDS PROCESSED	M	NUMERIC	9(9)	Total number of successfully processed records	Number of successfully processed records (including sub headers, all records between the header and trailer records)
RECORDS REJECTED	M	NUMERIC	9(9)	Total number of rejected records	Number of rejected records (including sub headers, all records between the header and trailer records)
FILLER	M	CHARACTER	X(3)	Spaces	



## 5 SET-UP OF E-MAIL ADDRESSES

For the Upload files a once off set up, unless an e-mail address changes, of e-mail addresses is required. Response to each upload would be posted to these addresses. It should be noted that the positive as well as the negative responses would be posted.

Members can load the relevant e-mail address or multiple e-mail addresses to which the responses must be e-mailed to via the function T.EML against the relevant Process Type. A max of 10 e-mail addresses can be set up.

The following Process Types are required for responses to be received via e-mail.

- Upload            ➔ DLSUPL        (Deals Upload)
- Upload            ➔ SDAYUP        (Same Day Allocations)
- Upload            ➔ ALLUPO        (Automatic Submission Deal Allocations)
- Upload            ➔ ALLOUP        (Manual Submission Deal Allocations)

Each new e-mail address would require a new sequence number (i.e. SEQ of 001, the suffix of DLSUPL, displayed below).

Example of multiple e-mail addresses loaded for the 3 processes:

OPTN: T.EML		BCS/A: GENERAL TABLE MAINTENANCE		10DEC13 14:13:41	
ACTN:				0000 A30	
TABLE: E-MAIL ADDRESS		START BROWSING FROM:			
		INCL DEACTIVATED		: N	
F BRK PROCS /SEQ DESCRIPTION					
_ 84 DLSUPL001 JULIANA@JSE.CO.ZA					
_ 84 DLSUPL002 INGRIDS@JSE.CO.ZA					
_ 84 ALLUPO001 JULIANA@JSE.CO.ZA					
_ 84 ALLUPO002 INGRIDS@JSE.CO.ZA					
_ 84 SDAYUP001 JULIANA@JSE.CO.ZA					
_ 84 SDAYUP002 INGRIDS@JSE.CO.ZA					
_ 84 ALLOUP001 JULIANA@JSE.CO.ZA					
_ 84 ALLOUP002 INGRIDS@JSE.CO.ZA					
PF1 HELP		PF2 RETURN		PF4 MENU	
		PF7 PREV		PF8 NEXT	
				PF12 QUIT	

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