BDA FINANCIAL DATA UPLOAD

Specification

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1   INTRODUCTION TO UPLOADING FINANCIAL DATA

The process to upload of Financial Data to BDA has been automated allowing the user to FTP the data to the JSE without scheduling the upload file via RPROC.

NOTE: The upload files will be created in a non-delimited fixed length format.

1.1   Card Codes

The data is uploaded using Card Codes. A Card Code is a grouping of logical data attributes that ensures where possible, relevant data is kept together. This makes it easier for users to know what data is contained in which card codes as different business operations within JSE Equity member firms require different sets of data. Apart from the different sets of data, end users also require data to be separated into different files i.e. the ability to download data in different files e.g. end users require General Ledger data to be separated from other BDA disseminated data. This is achieved by allocating a specific dataset (file) for each portion of the data that needs to be uploaded separately.

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3   VERSION CONTROL

Version	Updated By	Date	Reason for changes
V 0.1	Barbara Teasdale	23 July 2014	Separation of Dissemination and Uploads
V 0.2	Barbara Teasdale	21 October 2014	Removal of Account Uploads to separate spec.
V 0.3	Barbara Teasdale	4 November 2014	Removal of Deal and Allocation Uploads
V 0.4	Barbara Teasdale	21 April 2016	Removal of the CA Election uploads and updated Introduction
V 0.5	Barbara Teasdale	17 October 2016	Financial Data uploads automated
V 0.6	Barbara Teasdale	15 December 2016	Addition of details on the Response file and number of e-mail address increased from 10 to 100.

4   FINANCIAL DATA

Financial transactions that can be uploaded are journal entries, cashbook payments and cashbook receipts. The Member is required to FTP the upload datasets to the JSE. On completion of the FTP upload, a batch job will automatically be submitted (via CONTROL-O) to process the uploaded records. There is no requirement for users to schedule the processing of the upload file via RPROC.

The datasets to be uploaded will have the following format:
BBAP.SPRD.UPLOAD.XXX.FINUPL.G(+1), the 'XXX' depicting the relevant 2 or 3 character broker alpha code.

- The user performing the upload requires Mainframe FTP access i.e. a FTP username and password. If the member already has a FTP sign on, the same FTP sign-on can be used.
- The user must first request the creation of the datasets and then for any or all FTP sign-on's to be granted access to these datasets. This must be done via an email from the compliance officer to customersupport@jse.co.za.
- The member may also request additional Mainframe FTP sign-ons if required.

Note: All numeric fields must be filled with numbers. If there is no value they must be zero filled and not left empty.

4.1   E-mail Address Set up

Members will need to capture relevant email addresses to which the responses are to be mailed. This would be done via the function T.EML against the process types of FINUPL.

A maximum of 100 e-mail addresses can be set up. The email address field on T.EML is limited to 55 characters.
Each new e-mail address would require a new sequence number (i.e. SEQ of 001, the prefix of FINUPL, displayed below).

```
OPTN: T.EML        BCS/A:  GENERAL TABLE MAINTENANCE        10OCT16  11:09:29
ACTN:                                                       AAA    A99
 TABLE: E-MAIL ADDRESS                 START BROWSING FROM:
                                       INCL  DEACTIVATED  :  N
 F BRK PROCS /SEQ   DESCRIPTION
 _  01 FINUPL001   XXXX@COMPANY_EMAIL1.CO.ZA
 _  01 FINUPL002   XXXX@COMPANY_EMAIL2.CO.ZA

```

4.2 Error Reporting on COMPR and PCOMPR

A member will be notified via the captured e-mail address whether the upload file was successfully processed or not. If not successful, the reasons per line can be found on COMPR or on the report PCOMPR with error format code of FUPL for the Financial upload.

```
OPTN: COMPR            BCS/A: COMMON ERROR ENQUIRY        10OCT14  13:18:07
ACTN:                                                     AAA    A81
ERROR FORMAT CODE: FUPL       ERROR PROCESS DATE: 20141010
FTP FINANCE UPLOAD ERRORS – REAL TIME



PF1 HELP  PF2 RETURN  PF4 MENU   PF5 TABLES  PF7/8 PAGE   PF11 -->  PF12 QUIT
```

4.3 Response Dataset

In addition to the COMPR notifications, a response dataset will be created with the same dataset name as the upload file.

BBAP.SPRD.UPLOAD.XXX.FINUPL.SYYYYYYY, the 'XXX' depicting the relevant 2 or 3 character broker alpha code and the 'YYYYYYY' depicting the Sequence from the header record with a count and description appended to the end of the record:

Response File Record Layout

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD CODE	9(3)	999	
BRK-CDE	9(3)		Broker Numeric Code
DATE	9(8)		Process Date
TIME	9(6)		Process Time
TOTAL RECORDS	9(9)		Total Number of Records excluding Header and Trailer Records
RECORDS PROCESSED	9(9)		Total Number of Successfully Processed Records
RECORDS REJECTED	9(9)		Total Number of Rejected Records
FILLER	X(653)		Spaces
COUNT OF MSGS FOR LINE	9(3)		Count of number of messages in this line, if multiple errors the line will be repeated for each error
ERROR MESSAGE	X(50)		Error message code
TOTAL LENGTH	700		

Field Name	Data Type and length
CARD-CDE	9(3)
BRK-CDE	9(3)
DATE	9(8)
TIME	9(6)
TOTAL RECORDS	9(9)
RECORDS PROCESSED	9(9)
RECORDS REJECTED	9(9)
FILLER	X(653)
COUNT OF MSGS FOR LINE	9(3)
ERROR MESSAGE	X(50)

If there are no errors then this file will just contain a header and trailer record. If there are errors, it will contain a header, followed by the records that were in error, in the format above, followed by the trailer.

If there are multiple errors on the same record, then there will be multiple lines for that same line, each with its own error description.

The errors below are all possible errors that could occur on the trailer and any one will result in the whole file being rejected.

RECORD RECEIVED AFTER TRAILER
DUPLICATE TRAILER RECEIVED
BRK CDE NOT SAME AS HDR
TRAILER REC TOTAL NOT SAME AS RECS SENT
TRAILER NOT RECEIVED

4.4 Financial Record Layouts

4.4.1 Header Record - Layout 000

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD-CDE	9(3)	000	Spaces
BRK-CDE	9(3)		Brokers numeric code
PROCS-DTE	9(8)		Process date
PROCS-TME	9(6)		Process time
PREFIX	X(1)	S	
SEQUENCE	X(7)		Brokers reference
FILLER	X(145)		Spaces

TOTAL	173		

Note: 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 response file will have the same sequence number in it and overwrite any existing response files with the same sequence number. The broker will only be able upload a new file once the previous file has been processed, regardless of the sequence number. The file will be overwritten, but all files submitted by the broker will be stored in a GDG cycle for the Broker.

The response file will also be stored in a GDG cycle for the Broker. The number of cycles is still to be determined.

4.4.2   Cash Book Receipts - Layout 063

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD-CDE	9(3)	063	Card code 063
BRK-CDE	9(3)		Brokers numeric code
PROCS-DTE	9(8)		Process date
CHQ-NO	9(7)		Cheque number
CASH-ALPHA	X(2)		Cash alpha code
AGE-DTE	9(8)		Age date
ACC-CDE	9(7)		Account code
BAL-CDE	X(2)		Balance code
DES-CDE	X(2)		Designation code
AMT-SIGN	X	+/-	Sign of transaction amount
AMT	9(13)		Transaction amount - 2 decimals implied
NARRATIVE	X(40)		Transaction narrative
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
GENL-ANAL	X(9)		General analysis code
REG-CDE	9(2)		Nominee company registration code
FILLER	X(62)		Spaces

TOTAL	173

Note: To reverse a Cash Receipt a Cash Payment must be processed.

4.4.3   Cash Book Payments - Layout 064

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD-CDE	9(3)	064	Card code 064
BRK-CDE	9(3)		Broker numeric code
PROCS-DTE	9(8)		Process date
CHQ-NO	9(7)		Cheque number

CASH-ALPHA	X(2)		Cash alpha code
AGE-DTE	9(8)		Age date
ACC-CDE	9(7)		Account code
BAL-CDE	X(2)		Balance code
DES-CDE	X(2)		Designation code
AMT-SIGN	X	+/-	Sign of transaction amount
AMT	9(13)		Transaction amount - 2 decimals implied
NARRATIVE	X(40)		Transaction narrative
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
GENL-ANAL	X(9)		General analysis code
REG-CDE	9(2)		Nominee company registration code
PAYEE	X(40)		Payee Name
EL-PAY-IND	X		Electronic Payment indicator
FILLER	X(21)		Spaces

TOTAL	173

Note: To reverse a Cash Payment a Cash Receipt must be processed.

4.4.4   Journal Record - Layout 065

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD-CDE	9(3)	065	Card code 065
BRK-CDE	9(3)		Brokers numeric code
PROCS-DTE	9(8)		Process date
AGE-DTE	9(8)		Age date
REF-NO	X(6)		Reference number
ACC-CDE	9(7)		Account code
BAL-CDE	X(2)		Balance code
DES-CDE	X(2)		Designation code
AMT-SIGN	X	+/-	Sign of transaction amount
AMT	9(13)		Transaction amount - 2 decimals implied
NARRATIVE	X(40)		Transaction narrative
BRN-CDE	X(2)		Branch code
PARTNER-CDE	X(2)		Partner code
GENL-ANAL	X(9)		General analysis code
REG-CDE	9(2)		Nominee company registration code
FILLER	X(65)		Spaces

TOTAL	173

4.4.5 Trailer Record - Layout 999

BDA FIELD NAME	LENGTH	VALUE	DESCRIPTION
CARD CODE	9(3)	999	Trailer Card Code 999
BRK-CDE	9(3)		Broker Numeric Code
PROCS-DTE	9(8)		Process Date
PROCS-TME	9(6)		Process Time
RECS-TOT	9(9)		Number of records (excluding any header and trailer records)
RECS-PROC	9(9)		Number of successfully processed records, populated from BDA
RECS-REJ	9(9)		Number of rejected records, populated from BDA
FILLER	X(126)		Spaces
TOTAL	173		

4.4.6 Editing Data Uploaded

Each record read is checked to make sure that the transaction is for the correct broker, that it has a valid transaction code and that the processing date is the same as the run date.

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

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