TMX AUSTRALIA EXCHANGE

CXA Guide to Reference Data Files

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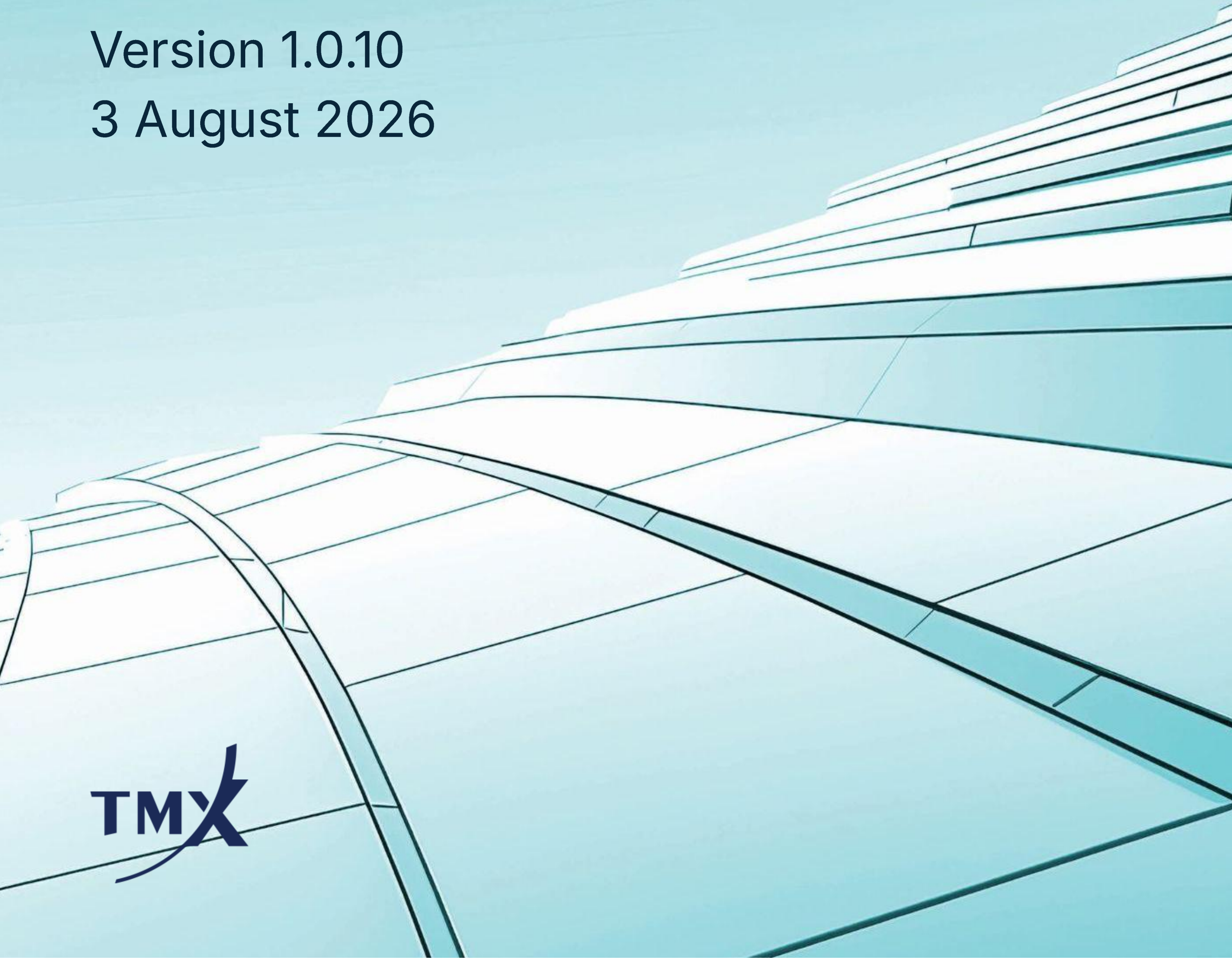

Contents

1. Introduction

CXA Equities will disseminate several reports containing reference data, trade, market share, and corporate action information for symbols quoted on CXA ("CXA"). This document describes the format and content of the various files. The timing and delivery of each report varies.

1.1 Filenames and Availability

Certification files will all have the prefix CERT instead of PROD.

Each file will be made available at the times indicated on best efforts basis. These times are presented as a guide and are not intended to constitute a definitive SLA. All times listed below are in AET.

File	Description	Filename	Time Available
CXA Securities List	The Securities List report contains essential information regarding all symbols quoted on CXA.	CXATSL.txt TEST_CXATSL.txt (including test symbols)	4:00 a.m., pre-open
Extended Securities List	The Extended Securities List report contains additional information regarding CXA symbols only.	CXALSL.txt TEST_CXALSL.txt (including test symbols)	4:00 a.m., pre-open
Tick Table File	The Tick Table file defines the tick sizes referred to in the CXA Securities list.	CXADTT.txt	4:00 a.m., pre-open
Market Share Report	The Market Share report is an end-of-day summary covering trading activity per market participant and security for each trading day.	MarketShareReport_YYYYMMDD.txt	4:45, 5:05, and 8:30 p.m., post-close
Broker Trade Report	The Broker Trade report offers a full report across every trade occurring at T-3 of report publication date.	BrokerTradeReport_YYYYMMDD.txt	1:00 a.m., pre-open on T+3
Issuer Announcements	The Corporate Announcements report includes continuous and periodic disclosures to the market. These are published as PDF documents with an accompanied text file.	IIIddmmyySSS.pdf and IIIddmmyySSS.txt	On demand
Index Product List File	The Index Product List file defines the current list of CXA indices.	CXAIPL.txt	4:00 a.m., pre-open

End of Day/Start of Day (Equity) Report	The End of Day ("EOD") (Equity) report consists of index closing values, divisor, and constituent Closing values. For equities indices, there will be another section to display dividend information if any. Start of Day ("SOD")(Equity) report is identical in format and layout to the EOD report, but will display the state of the index as it will be after overnight actions (both index constituent and weighting changes as well as equity corporate actions) have been applied.	EOD • AT_X2C_YYYYMMDD_HHMMSS.csv • AT_X2CG_YYYYMMDD_HHMMSS.csv • AT_X2CN_YYYYMMDD_HHMMSS.csv SOD • PREDICT_X2C_YYYYMMDD_HHMMSS.csv • PREDICT_X2CG_YYYYMMDD_HHMMSS.csv • PREDICT_X2CN_YYYYMMDD_HHMMSS.csv	8:00 p.m.
Pending Actions Report	The Pending Actions report consists of all future actions (Corporate or Index Corporate) for either an Index or all indices within an Index Family.	PA_CHIX_YYYYMMDD_HHMMSS.csv	8:00 p.m.
Index Level Report	The Index Level report consists of indices summary information. A row of index closing data will be displayed for each of the indices of an Index Family.	EOD_CHIXIndices_YYYYMMDD_HHMMSS.csv	8:00 p.m.
Gross Short Sales Report	The Gross Short Sales Report contains short sale transaction reporting that is required under the Corporations Act 2001 (Cth) and Corporations Regulations 2001 (Cth).	Short_Sell_YYYYMMDD.csv	10:00 a.m.

1.2 File Retrieval

The table below describes available file delivery methods for each report.

File	Public Website	CXA Web Portal	CXA Public FTP Server
CXA Securities List	Y		Y

Extended Securities List	Y		Y
Tick Table File	Y		Y
Market Share Report		Y	
Broker Trade Report		Y	
Issuer Announcements	Y	Y	
Index Product List File	Y		Y
Gross Short Sales Report	Y		

1.3 Public Website URLs

The Securities List, Extended Securities List, Tick Table File, and Index Product List File will be available for download on the CXA Public Website. Only data for the current trading date will be available in Certification and Production for the four files listed above. The Gross Short Sales Report is available for download on the CXA Public website and is available in Production only.

Issuer announcements are also made available on the public website and all historical announcements are available for download in Certification and Production.

CXA Customer Web Portal

The Market Share Report and Broker Trade Report files are available to Participants and vendors only. As a result, only users with a CXA Web Portal account that is associated with a known Participant or Vendor will be provided with the ability to download these files. Automation of these downloads using WGET (or similar software) is easily accommodated within the CXA Customer Web Portal. A sample WGET command to retrieve a Market Share Report is included below.

wget --tries=1 --http-user=myusername --http-password=mypassword --auth-no-challenge -O your_filename.csv "https://URL_TBD"

Issuer Announcements are submitted by issuers and posted to the CXA Customer Web Portal as well as to the CXA Public Website. A file containing URLs for every document currently available will be provided for client automation within the CXA Customer Web Portal.

Public FTP Server

The *Securities List, Extended Securities List, Tick Table File*, and *Index Product List File* for the current trading day will be available for download from the CXA Public FTP Server located at ftp.CXA.com.

2. Report Header Format

Reports in pipe-delimited text format will have a header record containing the following fields:

Field Name	Description
RecType	The Record type value for header records is "H".
Environment	The environment for which the file was generated. Allowed values: • CERT = Certification • PROD = Production
Report Date	The date (in YYYY-MM-DD format) that the report was published.
Report Time	The UTC time (in HH:MM:SS format) that the report was published.
Record Count	The number of records in the file, including the header.

Files consist of a header record, one or more data records, and a trailer record. Each line in a file contains a record. All record fields are of variable length and separated by pipe ("|") delimiters. Processing of data should be based on the column header rather than column position to accommodate any future changes to the column position; however, CXA will typically add new fields to the end of files whenever practical.

3. CXA Securities List Report - CXATSL

This report is generated each trading day and comprises all securities available for trading on CXA that day.

3.1 Header Record Format

A list of field names separated by a pipe ("|") delimiter.

3.2 Data Record Format

Each record on the CXA Securities List Report will contain the following fields:

Field Name	Description
RECTYPE	Identifies the record type. D = Data record H = Header record T = Trailer record
CXACODE	CXA symbol
DESC	Name of security
ISIN	ISIN code
CURR	Currency code
MIC	ISO MIC code identifying the listing venue. For a list of MIC codes, please refer to http://www.iso15022.org/MIC/homepageMIC.htm
RLS	Round Lot Size
TICK	ID of a Tick Table assigned to the security. See Tick Table File for Tick Table format.
ALLOWONMKT	Flag to indicate if a security is enabled for on-market trading. 1 = Enable 0 = Disable
ALLOWOFFMKT	Flag to indicate if a security is enabled for off-exchange trade reporting. 1 = Enable 0 = Disable
TYPE	Instrument type of the security: 1 = Ordinary Share 3 = ETF 4 = Warrant 5 = ASX Interest Rate Hybrids 6 = ASX Hybrid Securities 9 = QMF
PERCENTTHRESHOLD	Anomalous order relative threshold value in percentage. This is the maximum percentage an order price is allowed to deviate from the Reference Price. E.g., if the relative threshold is 15%, it will be 15.
ABSOLUTETHRESHOLD	Anomalous order absolute threshold value. This is the maximum value an order price may deviate from the Reference Price. E.g., if the absolute threshold is $0.10, it will be 0.1.

ALLOWMOC	Flag to indicate if a security is enabled for Market On Close (MOC) Orders. 1 = Enable 0 = Disable
ENABLEATTRIBUTION	The attribution setting regarding to the security. 1 = Enable 0 = Disable
CXA CLOSING PRICE	CXA Closing Price
CXA CLOSING PRICE TYPE	CXA Closing Price Type, indicates how the Closing Price is determined 1 = Chi-X VWAP defined Closing Price 2 = Last Trade/MM Bid Closing Price 3 = Externally provided Closing Price Blank (no value)
ALLOWMULTIDAY	Flag to indicate if a security is enabled for multi-day orders (GTC/GTD) 1 = Enable 0 = Disable
ALLOWAUCTIONS	Flag to indicate if a security is enabled for auctions 1 = Enable 0 = Disable
INSTRUMENTSUBTYPE	Reflects the Instrument Type observed on other systems. Applies to all Instrument Types except Warrants.

4. Extended Securities List Report - CXALSL

This report is generated each trading day and contains extended information on securities quoted on CXA.

4.1 Header Record Format

A list of field names separated by a pipe ("|") delimiter.

4.2 Data Record Format

Each record on the Extended Securities List Report will contain the following fields. The usage column advises which security types can utilise that field.

- A = All security types
- W = Warrant security types
- E = ETF/QMF security types
- Q = QMF security types
- L = CXA Listed Security types

Field Name	Usage	Description
RECTYPE		Identifies the record type. F = ETF H = Header record Q = QMF T = Trailer record W = Warrant record L = CXA Listing record
CXACODE	A	CXA Symbol
DESC	A	Name of security
ISIN	A	ISIN code
CURR	A	Currency code for CXA Instrument
MIC	A	ISO MIC code identifying the listing venue. For a list of MIC codes, please refer to http://www.iso15022.org/MIC/homepageMIC.htm
RLS	A	Round Lot Size
TICK	A	ID of a Tick Table assigned to the security. See the Tick Table format here.
ALLOWONMKT	A	Flag to indicate if a security is enabled for on-market trading. 1 = Enable 0 = Disable
ALLOWOFFMKT	A	Flag to indicate if a security is enabled for off-exchange trade reporting. 1 = Enable 0 = Disable
TYPE	A	Instrument type of the security: 1 = Ordinary Share 3 = ETF 4 = Warrant

		9 = QMF
PERCENTTHRESHOLD	A	Anomalous order relative threshold value in percentage. This is the maximum percentage an order price is allowed to deviate from the Reference Price. E.g., if the relative threshold is 15%, it will be 15.
ABSOLUTETHRESHOLD	A	Anomalous order absolute threshold value. This is the maximum value an order price may deviate from the Reference Price. E.g., if the absolute threshold is $0.10, it will be 0.1.
ALLOWMOC	A	Flag to indicate if a security is enabled for Market On Close (MOC) Orders. 1 = Enable 0 = Disable
ISSUER	A	ID of the issuer
UNDERLYING	W	Symbol of the underlying
UNDERLYINGISIN	W	ISIN Code of the Underlying in its primary market.
UNDERLYINGMARKET	W	MIC of the primary market for the Underlying
WARRANTTYPE	W	Warrant Type. Value is string, e.g., “INDEX GSL MINI PUT”
LISTINGDATE	A	Date (YYYYMMDD) of first listing for quotation
EXPIRYDATE	W,Q	Date (YYYYMMDD) of expiration.
CALLPUT	W	Call put indicator. Possible values are “Call”, “Put”, and “NA”
BARRIERPRICE	W	Price or zero
EXERCISETYPE	W	Exercise Type. A = American E = European
MULTIPLIER	W	Warrant Multiplier. Value is numeric, e.g., 100.
CAPLEVEL	W	Price or zero
SETTLEMENTSTYLE	W	Settlement Style. Possible values are “Cash” and “Physical”.
RESETDATE	W	Reset Date. Date (YYYYMMDD) or zero.
APPROVED SIZE	W	Numeric (11)
CXA CLOSING PRICE	A	CXA Closing Price
CXA CLOSING PRICE TYPE	A	CXA Closing Price Type, indicates how the Closing Price is determined. 1 = Chi-X VWAP defined Closing Price 2 = Last Trade/MM Bid Closing Price 3 = Externally provided Closing Price 4 = CXA Closing Auction

		Blank (no value)
LISTING STATUS	A	Active/Suspended or linked
MARKET MAKER LIST	A	List of Participant IDs who are Market Makers
LAST TRADED DATE	A	Date of Last Trade
LAST TRADED PRICE	A	Price of Last Trade on Last Traded Date
STRIKE PRICE	W	The Strike Price
LONG DESCRIPTION	A	Long Product description
ABBREVIATED DESCRIPTION	A	Abbreviated Description
SHORT DESCRIPTION	A	Short Product description
RESET LEVEL	W	The new strike to apply to the deferred series
DESPATCH DATE	W	Last day of deferred settlement trading
UNCOVERED ISSUE	W	A flag to indicate if this warrant is Uncovered.
OFF-MARKET DUTY NEXUS	W	Location
NAVTICKERSYMBOL	A	NAV Ticker Symbol
PCF FILENAME	E	Default Filename for PCF file available on SFTP service
BASIS OF QUOTATION	A	Basis of Quotation Code of the security. See below section on Basis of Quotation reference.
EX DISTRIBUTION DATE	A	EX Distribution Date of the security
RECORD DATE	A	Record Date of the security
PAYMENT DATE	A	Payment Date of the security
TOTALUNITSORSHARESONISSUE	E, Q, L	Total Units or Shares Issued
QUOTED UNITS	Q	The number of units that are "Quoted" for QMF (N.B.: When QMF are quoted on CXA there will be fund holders who have purchased the units via the unlisted method and others who buy on-market or as a listed fund)
SECOND LEVEL	W	Bonus Certificate Bonus Level as defined by the Warrant Issuer, if available.
ALLOWMULTIDAY	E, Q, L	Flag to indicate if a security is enabled for multi-day orders (GTC/GTD) 1 = Enable 0 = Disable
ALLOWAUCTIONS	E, Q, L	Flag to indicate if a security is enabled for auctions 1 = Enable 0 = Disable
DEFERREDSETTLEMENT	L	A flag to indicate if trading in deferred state
DEFERREDSETTLEMENTSYMBOL	L	Deferred Settlement symbol

DEFERREDSETTLEMENTISIN	L	Deferred Settlement ISIN
DEFERREDSETTLEMENTSTARTDATE	L	Deferred Settlement Start Date
DEFERREDSETTLEMENTENDDATE	L	Deferred Settlement End Date
INSTRUMENTSUBTYPE	E, Q, L	Reflects the Instrument Type observed on other systems. Applies to all Instrument Types except Warrants.
CUSIP	L	Numerical identifier includes security issuer code
SEDOL	L	Exchange symbol identifier

Basis of Quotation Reference List

The Basis of Quotation field in the Extended Securities List data record may be populated with one of the industry published values listed below.

Basis of Quotation	Description
CB	Cum bonus issue
CC	Cum capital return
CD	Cum dividend
CE	Cum entitlement
CF	Cum takeover offer
CI	Cum interest
CL	Call due
CP	Call paid
CQ	Cum equal access scheme
CR	Cum rights issue
CT	Conditional trading
CZ	Cum priority
NX	New - ex interest
PA	Protection available
PU	Protection unavailable
RE	Reconstructed
XB	Ex bonus issue
XC	Ex return of capital
XD	Ex dividend
XE	Ex entitlement
XF	Ex takeover offer

XI	Ex interest
XQ	Ex equal access scheme
XR	Ex rights issue
XZ	Ex priority

5. Tick Table File

The Tick Table file defines the tick sizes referred to in the CXA Securities List and is generated each trading day.

5.1 Header Record Format

A list of field names separated by a pipe (“|”) delimiter.

5.2 Data Record Format

Each record on the Tick Table file will contain the following fields:

Field Name	Description
RECTYPE	Record type. D = Data record H = Header record T = Trailer record
TICKTABLE	Name of Tick Table
THRESHOLD	The minimum price value that applies to the tick band
INCREMENT	The price increment (or “tick”) that applies to this band

6. Market Share Report

The Market Share report is an end-of-day summary report covering trading activity per market participant and security for each trading day. The report is created and copied over to Participants Web Portal accounts at the end of each trading day. Overnight and Facilitated Trade Reports are included in the report based on the day they are reported and not based upon the AsAtDate/TradeDate.

The file is a comma separated value file consisting of a header record and one or more data records. The data records are all fixed length. There are no trailer records.

6.1 Header Record Format

The header record does not have a fixed field length, but the data records do. The following fields are listed with a simple comma separator (,):

- Trade Date
- Participant Name
- Trading Number
- Security Code
- Trade Value
- Trade Count

6.2 Data Record Format

Each record on the Market Share Report will contain the following fields.

Field Name	Field Length	Description
TRADE DATE	6	The trade date relating to the record. This will always match the file's creation and file name date.
PARTICIPANT NAME	50	Long form name of the participant.
TRADING NUMBER	20	Short Form Participant ID number.
SECURITY CODE	6	CXA Symbol code.
TRADE VALUE	12	Aggregate trade value by the participant. Decimal place denoted by a period (.).
TRADE COUNT	9	Total trades against set security for set participant.

7. Broker Trade Report

The Broker Trade report offers a full report across every trade occurring at T+3 of original trade date. Overnight and Facilitated Trade Reports are included in the report based on the day they are reported and not based upon the AsAtDate/TradeDate.

The file is created daily and posted to Participant's Web Portal accounts on the morning of the file's creation. The file includes the analysis date in its title.

The file contains comma separated values with fixed field lengths.

7.1 Header Record Format

Field Name	Field Length	Description
ROW NUMBER	6	Opening Row number, every first field through-out the file includes a unique row sequential row number.
MESSAGE TYPE	2	Start of file designator, always set to "GG"
RETRANSMIT ID	1	Value set to "0"
REPORT DATE	8	Transaction date in This field will always be T-3 days to the file's creation date.

Data Record Format

Field Name	Field Length	Description
ROW NUMBER	6	Opening Row number, every first field through-out the file includes a unique row sequential row number.
MESSAGE TYPE	2	Set to "TA" for trades or "TG" for trade cancellations.
RETRANSMIT ID	1	Value set to "0"
EXCHANGE CODE	8	The CXA Exchange code. This will always be "CXA".
TIME CODE	6	Trade execution time in HHMMSS format.
CXA SYMBOL	6	The CXA symbol code for the traded financial instrument.
BUYER PARTICIPANT ID	20	The Participant ID to the buy side of a trade.
SELLER PARTICIPANT ID	20	The Participant ID to the sell side of a trade.
EXECUTION PRICE	10	The transaction's price per share traded.
QUANTITY EXECUTED	10	The transaction's traded quantity.
TOTAL CONSIDERATION	12	The transaction's total value traded.

SERIAL TRADE QUALIFIER	4	The serial trade qualifier issued by the CXA matching engine.
TRANSACTION DATE	8	The transaction date of the trade.
TRADE SALES SLIP NUMBER	6	The transaction sales slip number. Combined with the Serial Trade qualifier constitutes a unique execution id for each trade.
BUY ORDER REFERENCE	9	The buy order ID as assigned by the CXA matching engine.
SELL ORDER REFERENCE	9	The sell order ID as assigned by the CXA matching engine.
CURRENCY EXCHANGE RATE	10	The currency exchange rate effective over the trade.
OFF EXCHANGE TRADE REPORT	1	A Boolean field, Y or N, identifying the transaction as a trade report.
TRADE REPORT TYPE	1	A single character field identifying the trade report type.
EXECUTION VENUE	5	A string (max 5 characters) identifying the participant crossing system or dark pool where the trade occurred. Populated with the MIC or ASIC allocated code.

8. Issuer Announcements Fields

Issuers of investment products are required to provide continuous and periodic disclosures to the market, known as announcements. Announcements are published on the CXA website and additionally to the CXA Customer Web Portal for Participants and Vendors. Each announcement has a corresponding text file with summary information about the announcement.

8.1 Naming Convention

The announcement files will be placed onto the SFTP site with the following naming convention:

- IIIddmmyySSS.pdf and IIIddmmyySSS.txt, Where:
  - III = Issuer Code
  - ddmmyy = date of the announcement
  - SSS = Sequence number that starts at 1 each day for each issuer.

8.2 Text File Format

The TXT file is a comma separated text file with variable length fields. Each record on Corporate Announcements will contain the following fields:

Field Name	Field Length	Description
DATE	6	The issue date - ddmmyy
TIME	6	The issue time - HHMMSS
ISSUER	3	The Issuer Symbol.
DESCRIPTION	<= 80	The announcement header.
NUMBER OF PAGES	<= 4	The number of pages in the PDF file.
SENSITIVE INDICATOR	1	Equals Y if the announcement is Price Sensitive.
PDF FILENAME	16	The name of the PDF file.
REPORT TYPE	5	The standard type code for this report (see below table).
INSTRUMENT *(Optional)*	6	The specific instrument code referred to in this announcement.

The following Report Types are applicable to Announcements.

Report Code	Description
10000	Funds - Distribution Announcement
10001	Funds - Dividend Record Date
10002	Funds - Dividend Pay Date
10003	Funds - Dividend Rate
10004	Funds - Dividend Alteration
10005	Funds - Dividend - Other
10006	Funds - Reinvestment Plan

10007	Funds - Interest Record Date
10008	Funds - Interest Pay Date
10009	Funds - Interest Rate
10013	Funds - Daily NAV
10014	Funds - PDS
10015	Funds - Issuer Announcement
14020	CXA Index Product
18000	Structured Products
18001	Structured Products – other
18002	Structured Products – Issuer Report
18003	Structured Products – Disclosure Document
18004	Structured Products – Acceptance
18005	Structured Products – Trust Deed
18006	Structured Products – Distribution
18007	Structured Products – Adjustment
18008	Structured Products – SPDS
18009 – 18020	Reserved for Future use

9. Index Product List File

The trading system generates an Index Product List file each trading day, which defines the current list of CXA Indices.

9.1 Header Record Format

A list of field names separated by a pipe ("|") delimiter.

9.2 Data Record Format

Field Name	Description
RECTYPE	Identifies the record type. I = Data record H = Header record T = Trailer record
CXACODE	CXA Index code
DESC	CXA Index short description
LONGDESC	CXA Index long description
LAUNCHDATE	CXA Index launch date
BASEDATE	CXA Index base date
BASEVALUE	CXA Index base value
SERIES	CXA Index series identifier

10. End of Day/Start of Day (Equity) Report

Section Name	Field	Description
Index Summary	Net Change	The percentage difference between current close value and previous calculation day's close value.
	High	The highest calculated value for an index during the calculation day. This field will be zero for SOD reports.
	Low	The lowest calculated value for an index during the calculation day. This field will be zero for SOD reports.
	Previous Close	The last calculated value for the index on previous calculation day.
	Close	The last calculated value for the index on current calculation day.
	Divisor	The index's divisor value.
	Base Value	The index value at inception.
	Date	The calculation date of the report in YYYYMMDD format.
	SOD/EOD	This will have a value of either "SOD" or "EOD" for respective reports.
	Index Symbol	The symbol or index code (short name) of the index.
	Index Name	The full (long) name of the index.
	Index Currency	The currency that the index is denominated in.
	Index Family	The index series the index is a member of, if any.
	Number of Constituents	The number of constituents the index has.
	Currency Code	Currency code of the currency that the index is denominated in. This is only populated if index is total return calculated.
	Net, Gross, or Franked	Indication for whether dividends will be calculated with the deduction of withholding tax (Net), without the deduction of withholding tax (Gross), or whether Franking Credits have been applied to dividends (Franked). This is populated only for Total Return Indices.
	Dividend Value	Calculated dividend amount in index currency, if any, in a total return equity report.
Constituent	Constituent Name	Name of the constituent in the index.
	Closing Price	Last traded price of the constituent.
	Market	Name of the Market the constituent is a member of in the Index Engine.
	Shares in Issue	Amount of all the shares issued by the constituent, as configured in the Index Engine.

	SEDOL Code	Stock Exchange Daily Official List code of the equity constituent.
	ISIN Code	International Securities Identification Numbers code of the equity constituent.
	Region	Location the constituent is domicile in.
	Currency	The currency name the constituents are denominated in.
	Security State	State of the constituent at time of report generation. This field can be "Closed", "Closing", or "Open"
	Float Ratio	The percentage value of shares that is freely available as configured in the Index Engine.
	Adjustment Factor	The weighting factor of the constituent in the Index.
	Exchange Rate	Currency value to convert the constituents into index currency denomination.
	Total Market Capitalisation	Total market capitalization of the constituent in Index Currency.
	Adjusted Market Capitalisation	Total market capitalization of the constituent adjusted with Float Ratio and Adjustment factor in Index Currency.
	Symbol	Security symbol in its local exchange.
	Weight	Weight of the security in the Index.
	GICS	GICS (Global Industry Classification Standard) Industry Name Classification of the security.
Dividends	Constituent Name	Name of constituent with dividend issued.
	Dividend per Share	Dividend per share amount.
	Market	Name of the Market the constituent is a member of in Index Engine.
	Shares in Issue	Amount of all the shares issued by the constituent, as configured in the Index Engine.
	SEDOL Code	Stock Exchange Daily Official List code of the equity constituent.
	ISIN Code	International Securities Identification Numbers code of the equity constituent.
	Region	Location the constituent is domicile in.
	Currency	Currency name of the dividend is paid in.
	Dividend Date	Date of dividend issue.
	Adjustment Factor	The weighting factor of the constituent in the Index.
	Float Ratio	The percentage value of shares that is freely available as configured in the Index Engine.

	Exchange Rate	Currency value of the currency the dividend is paid in.
	Tax Rate	Tax Rate of the region the constituent is in, as configured in the Index Engine.

11. Pending Actions Report

Section Name	Field	Description
Action Summary	Action Type	Type for action that has been scheduled. This field can take a value of "Corporate Action", "Index (Corporate) Action", or "General Action".
	Action Sub Type	The specific action name is displayed here. This field can take a value of "Cash Divided", "Shares in Issue", "Addition", "Deletion", and etc.
	Entity Type	This field displays what the action is implemented upon, for example "Equity" or "Index".
	Constituent Name	Name of Constituent which has the pending action on it.
	Market	Name of the Market which the constituent belongs to.
	Divisor Recalculated	This field can take a value of "Yes" or "No" depending on whether the index's divisor will be recalculated.
	Created	Date and Time in UTC of when the action was created.
	Scheduled (Ex Date)	Date of the action is scheduled to take effect.
	Action Description	Full description of the action will be displayed here. E.g., Cash dividend on 2016-04-14 00:00:00 Equity: Singapore O&G Ltd. Currency: Australian Dollar Dividend: .0115

12. Index Level Report

Section Name	Field	Description
Index Summary	Net Change	The percentage difference between current close value and previous calculation day's close value.
	High	The highest calculated value for an index during the calculation day. This field will be zero for SOD reports.
	Low	The lowest calculated value for an index during the calculation day. This field will be zero for SOD reports.
	Previous Close	The last calculated value for the Index on previous calculation day.

	Close	The last calculated value for the Index on current calculation day.
	Divisor	The index's divisor value.
	Base Value	The index value at inception.
	Date	The calculation date of the report in YYYYMMDD format.
	SOD/EOD	This will have a value of "EOD"
	Index Symbol	The symbol or index code (short name) of the Index.
	Index Name	The full (long) name of the Index.
	Index Currency	The currency that the Index is denominated in.
	Index Family	The index series the Index is a member of, if any.
	Number of Constituents	The number of constituents the Index has.

13. Gross Short Sale Reports

13.1 Reporting Short Sale Transactions

When applicable, participants must report short sale transaction information for products which are uniquely quoted on CXA (i.e. CXA symbols) to CXA as required under the Corporations Act 2001 (Cth) and Corporations Regulations 2001 (“Gross Short Sale report”).

Gross Short Sale reports for ASX listed/quoted symbols must be reported to and will be published by ASX (who acts as CXA’s agent) irrespective of whether they were traded on CXA or ASX.

13.2 File Format and Method of Submitting to CXA

Participants are required to email the reportable short sell transactions information to CXA Trade Desk in the format specified below:

File Attribute	Details	Example
Filename and format	CHIX.SS.’Date’.’Trading PID’.csv **Format CHIX.SS.YYYYMMDD.1234.csv** where 1234 is the 4 digit trading PID	CHIX.SS.20170317.1234.csv *PID 1234 entering positions from 17 March 2017.*
Header Record *Comma delimited CSV format*	Date, Trading PID **Format YYYYMMDD,1234** where 1234 is the 4 digit trading PID	20170317,1234 *PID 1234 entering positions from 17 March 2017.*
Detail Records (1..n) *Comma delimited CSV format*	CXA Instrument Code, Gross Short Sales volume **Format XXX999 (alphanumeric), 999999 (numeric)** comma delimited (i.e. fields have no fixed length)	XKAP,701 *For CXA fund XKAP, reporting gross short sales volume of 701*

13.3 View Summarised Short Sell Information

The Gross Short Sales reports webpage on the CXA website contains details about timing and method of submission as well as the published consolidated reports.

Note that participants lodging Gross Short Sale reports with CXA must ensure that the information they are providing fulfils their short sale obligations under the Corporations Act 2001 (Cth).

Revision History

Document Version	Date	Description
1.0.0	01/06/22	Initial publication.
1.0.1	08/02/23	Removed historical reference data statement. Added URLs to Section 1.2.1. Added End of Day/Start of Day, Pending Actions, and Index Level Reports.
1.0.2	06/03/23	Updated URLs in Section 1.2.1.
1.0.3	22/03/23	Updated time zone to AET.
1.0.4	02/10/23	Added Gross Short Sales Reports.
1.0.5	30/10/23	Added *TEST* reference data files that include test symbols.
1.0.6	24/05/24	Added indicators for symbols eligible for multi-day orders. Updated Multi-Day orders to be temporarily displayed in blue font for clarity. Added indicators for symbols eligible for Auctions. Added indicators for CXA Listings instrument type. Updated Auctions to be temporarily displayed in red font for clarity. **Effective Date: Target late Q1, 2025 (tbc)**
1.0.7	12/09/24	Added CXALSL fields for corporate action events in CXA Listings instrument type.
1.0.8	15/01/25	Updated ALLOWMULTIDAY to black font.
1.0.9	28/02/25	INSTRUMENTSUBTYPE in CXATSL and CXALSL to apply to all Instrument Types except Warrants.
1.0.10	03/08/26	Rebrand

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