

## Unbundling per File File Specifications v2.1

1. File name:

*xxxyyyymmdd\_NN.txt*

*Where:*

*yyyymmdd* – trade date

*xxx* – 3 digit broker id

*NN* – Contains the file number submitted by the broker for the trade date. The first file submitted for the day is number 01, second is 02, etc.

i.e. 99920120101\_01.txt

Upon submission, the file will be renamed to:

*xxxyyyymmdd\_NN\_yyyyymmdd\_HH24MMSS.csv*

*Where:*

*yyyymmdd* – Trade Date

*xxx* – 3 digit broker id

*NN* – Contains the file number submitted by the broker for the trade date. The first file is 01, second is 02, etc.

*yyyymmdd\_HH24MMSS* – date and time when the file was submitted by the broker

i.e. 99920120101\_01\_20120202\_170001.csv

2. File layout:

Header

Data Requirement	Data Type	Format/Valid Values	Description
Indicator	X,1	'H'	Header Indicator
Trade Date	X,8	yyyymmdd	Date the trade is executed or matched
Confirm/ Trade Number	X,10	9999999999	Confirmation number per trade
Bundled Client Account Code	X,120	Alphanumeric, except for comma	This account is the aggregate/bundled account used for the trade.  The account code can be a combination of alphanumeric characters, except for comma ",".
PSE Trading Account Code	X, 14	Alphanumeric	PSE Trading Account Code of the Bundled Client Account Code.
Security Symbol	X, 5	Alphanumeric	Valid security symbols
No of Shares / Volume	N, 12	999999999999	Number of shares for the whole trade
Price	X,15	9999999999.9999	Price of the trade

Data Requirement	Data Type	Format/Valid Values	Description
Number of Individual Accounts	N,6	999999	Total number of accounts that the trade will be unbundled to.
Board Indicator	X,1	'N' 'O' or 'B'	Character "N" for Main board Character "O" for Odd lot Character "B" for Block Sale
Side	X,1	'B' or 'S'	Character "B" to be displayed if the side is buying.  Character "S" to be displayed if the side is selling.

Body

Data Requirement	Data Type	Format/Valid Values	Description
Indicator	X,1	'B'	Body Indicator
Individual Client Account Code	X,120	Alphanumeric, except for comma	This account code is the individual account that will receive the allocated shares from the trade using the Bundled Client Account Code. The account code(s) can be a combination of alphanumeric characters, except for comma ",".
PSE Trading Account Code	X, 14	Alphanumeric	PSE Trading Account Code of the Individual Client Account Code. Unique code that corresponds for each client account of the investor in the trading system.
Number of shares	N, 12	999999999999	Number of shares that will be allocated per Individual Client Account Code.
Side	X,1	'B' or 'S'	Side being unbundled.

Footer

Data Requirement	Data Type	Format/Valid Values	Description
Indicator	X,1	'F'	Footer Indicator
Trade Date	X,8	yyyymmdd	Date the trade is executed or matched
Confirm/ Trade Number	X, 10	9999999999	Confirmation number per trade
Bundled Client Account Code	X,120	Alphanumeric, except for comma	This account is the aggregate/bundled account used for the trade.  The account code can be a combination of alphanumeric characters, except for comma ",".
PSE Trading Account Code	X, 14	Alphanumeric	PSE Trading Account Code of the Bundled Client Account Code.

Data Requirement	Data Type	Format/Valid Values	Description
Security Symbol	X, 5	Alphanumeric	Valid security symbols
No of Shares / Volume	N, 12	999999999999	Number of shares for the whole trade
Price	X,15	9999999999.9999	Price of the trade
Board Indicator	X,1	'N' 'O' or 'B'	Character "N" for Main board Character "O" for Odd lot <b>Character "B" for Block Sale</b>
Side	X,1	'B' or 'S'	Character "B" to be displayed if the side is buying.  Character "S" to be displayed if the side is selling.

*X- Varchar, N-Numeric*

- The information is pipe (|) delimited. Each row contains a set of information.
- The price, number of shares and number of individual accounts are not comma delimited.
- The header must be accompanied by the body and the footer.
- The bundled and individual client account codes are enclosed by double quotes (" ").
- The format of the data is as follows:

*Header Count*

*H* | + Trade Date(yyyymmdd) | + Confirmation No | + "Bundled Client Account Code" | + PSE Client Account Id | + Security Symbol | + Number of shares | + Price | + Number of Individual Accounts | + Board Indicator | + Side

*B* | + "Individual Client Account Code" | PSE Client Account Id | Number of Shares | Side

*F* | + Trade Date(yyyymmdd) | + Confirmation No | + "Bundled Client Account Code" | + PSE Client Account Id | + Security Symbol | + Number of shares | + Price | + Board Indicator | + Side

*Where:*

*Header Count* - Number of headers on the file.

*H* – Indicator for the header.

*F* – Indicator for the footer.

*B* – Indicator for the body. Indicates the client accounts and number of shares being unbundled for each account.

## Clarifications

- A cut-off time will be defined by PSE under the Guidelines for Unbundling.
- The total number of shares allocated to the individual accounts must be less than or equal to the shares traded.
- The system will reject the file if the file has incorrect file format.
- The system will reject the trade being unbundled if any of the following occurs:
  - Any of the following trade details are incorrect: trade date, security symbol, confirmation number, board lot, price, PSE Client Account Id;
  - The trade being unbundled is not using a bundled account;
  - The trade has been amended;

5. Only the trade using the bundled client account code can be unbundled.
6. A trade can be unbundled several times before the deadline as long as the number of shares unbundled has not exceeded the shares traded.
7. There is no unbundling to another group account.
8. There should be no extra carriage return character/s after the end of the file.

## Revision History

Date Revised	Version	Section Revised
07/08/2013	1.6.3	Current release based on PSEtrade
10/31/2014	2.0	Change PSE Trading Account from 16 to 14 characters Released as v2.0 UNBUNDLING_FILE_SPECS_v2.0
08/03/2015	2.1	Change in Board Indicator to include "B" for block sale Released as v2.1 UNBUNDLING_FILE_SPECS_v2.1