

Short Sales Reporting

Submitting Gross Short Sales Report via ASX Online

USER NOTES

MAY 2016



Overview

This guide gives an overview of the short sales reporting facility to Participants required to report their positions on an ongoing basis.

Contacts

For support with Short Sales Reporting, please contact:

T 131 ASX (131 279)

E ASX.Online@asx.com.au

Or raise a service request via Ask ASX -
<https://asxonline.com/help-and-support/raise-a-request>.

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Introduction

About this guide

This guide has been designed as a practical, customer reference for the ASX Short Sales Reporting facility within ASX Online.

i Please contact us on 131 ASX (131 279) if you have any queries regarding the content within this guide.

Overview of the gross short sales reporting facility

This service facilitates the reporting of gross short sales directly to ASX using ASX Online.

The following points summarise the steps involved when using the facility and are described in detail in the remainder of this document:

1. Submit a short sales report
2. Adjust / remove a submitted short sales report
3. View your previous submissions for a given day
4. View an aggregated report of short sales reported for the market

Before you begin

Pre-requisites

Before submitting gross short sales reports you will require:

1. Access to the Internet via your desktop or mobile device
2. An ASX Online username and password
3. Permission applied by your Enterprise Administrator to submit / view Short Sales Reports
4. Your entity to be already setup with ASX as a Market Participant

i If you do not have an ASX Online username, password or appropriate permissions applied, please contact your Enterprise Administrator or Compliance Manager.

If you do not know who your Enterprise Administrator is, please contact us on 131 ASX (131 279) or via email at ASX.Online@asx.com.au.

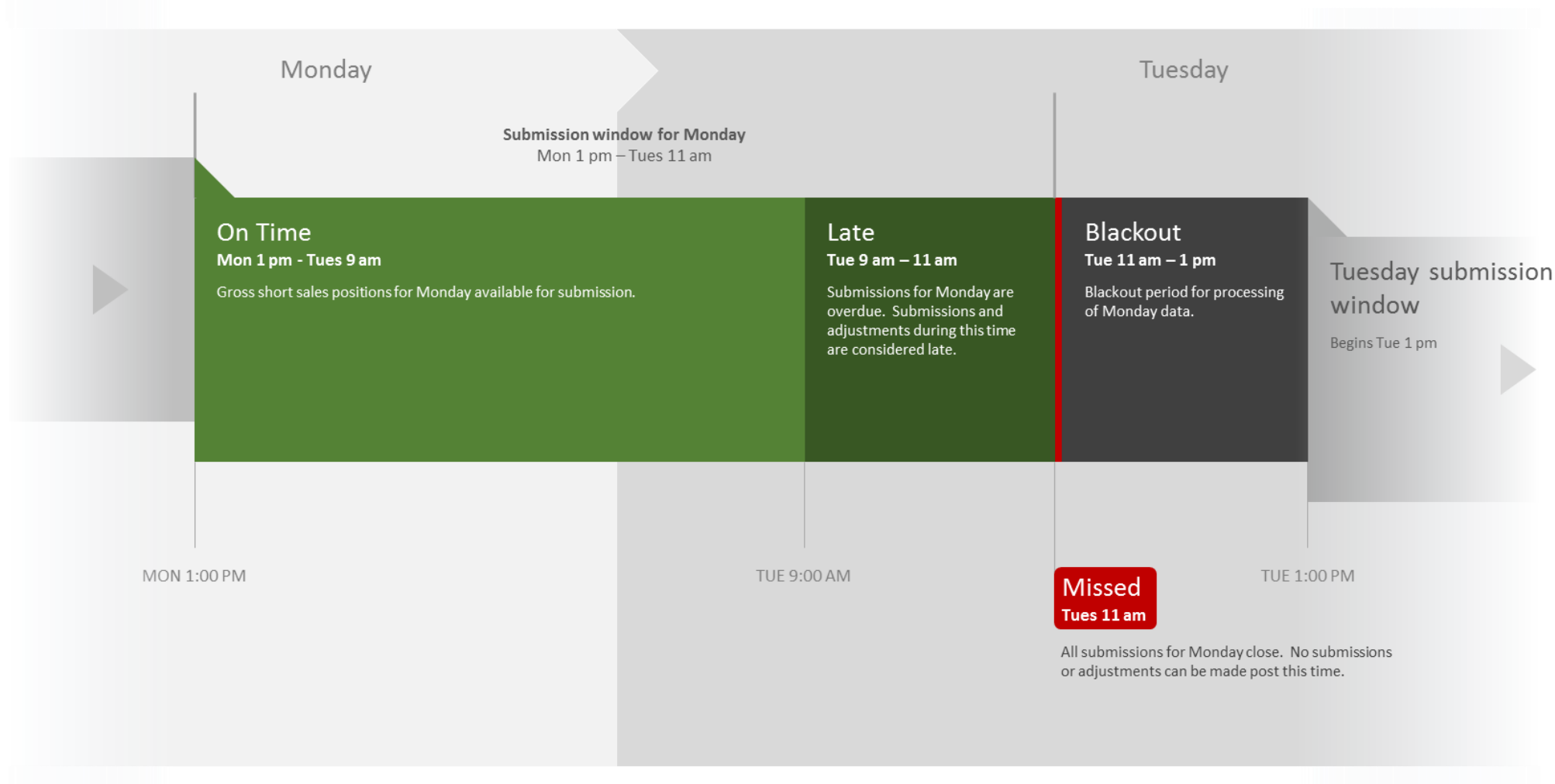
Understanding the short sales reporting timeline

It is important to understand the various timelines affecting the submission and adjustment of short sales reports. There are three primary times to be aware of:

1. **On time** : short sales reports are on time if submitted by 9 am for cash market transactions that were sold before 7pm (Sydney, AU) for the previous trading day.
2. **Late** : reports accepted between 9 am and 11 am for cash market transactions that were sold before 7pm (Sydney, AU) for the previous trading day are still accepted however, are recorded as late.
3. **Missed** : no further submissions or adjustments are possible post 11 am for cash market transactions that were sold before 7pm (Sydney, AU) for the previous trading day. The cut off time is represented as red in the diagrams following.

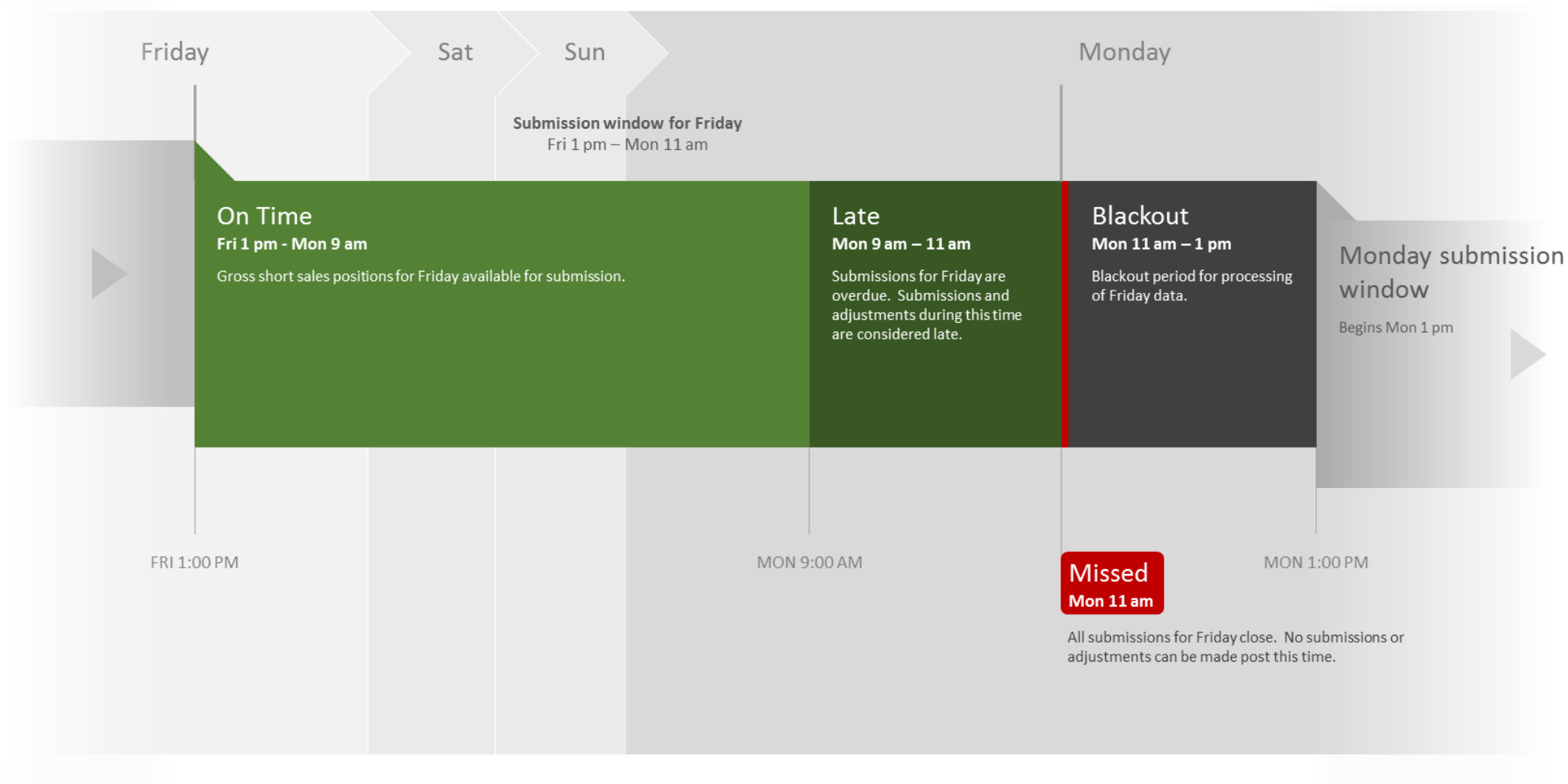
Scenario 1 : A typical trading day

The scenario below outlines the timeline for submitting and adjusting a short sales report on a typical trading day.



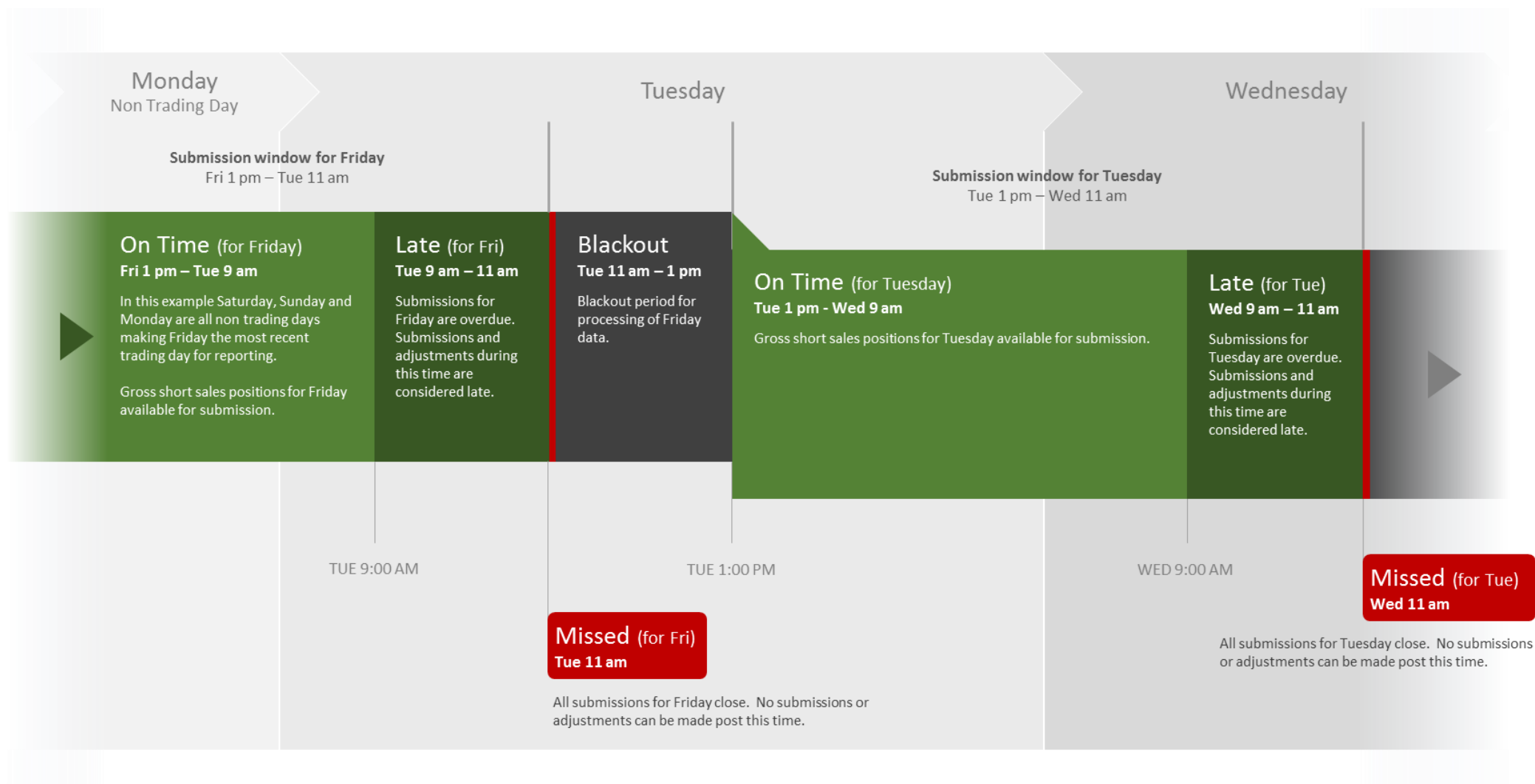
Scenario 2 : Over the weekend

The scenario below shows an example of the timeline for submitting and adjusting a short sales report over a weekend.



Scenario 3 : A non-trading day

The scenario below shows an example of the timeline for submitting and adjusting a short sales report where there is a non-trading day.



Submitting a gross short sales report

The below steps describe the process of submitting a short sales report. For further information on prerequisites and timelines please refer to the [Before you begin](#) section.

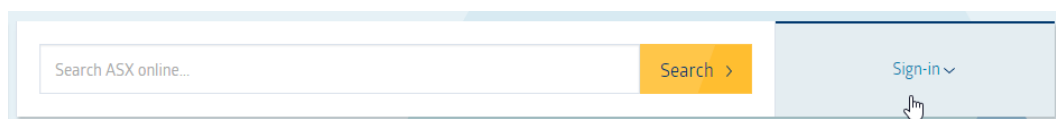
1. Accessing the gross short sales reporting facility.

Using your web browser, navigate to <https://asxonline.com>

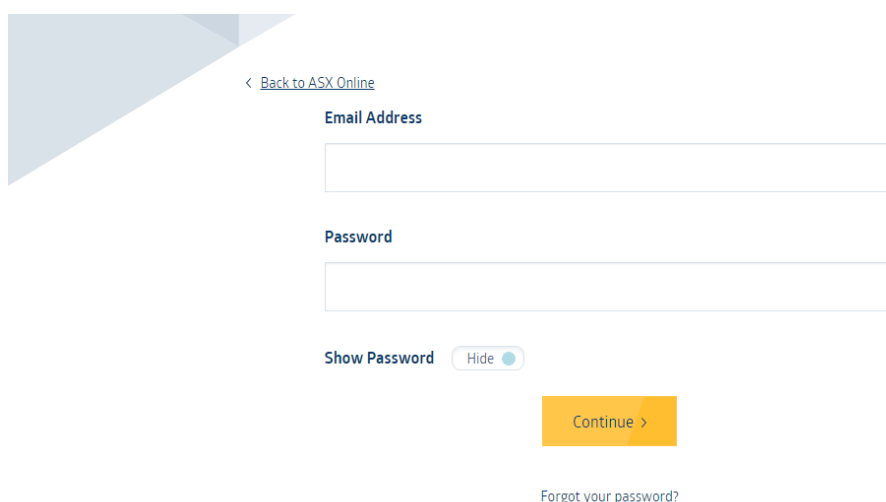
2. Select **Sign-in / Participant** from the top right of the dashboard and enter your username and password.

i If you do not have an ASX Online username, password or appropriate permissions applied, please contact your Enterprise Administrator or Compliance Manager.

If you do not know who your Enterprise Administrator is, please contact us on 131 ASX (131 279) or via email at ASX.Online@asx.com.au.



A screenshot of the top navigation bar of the ASX Online portal. It features a search bar with the placeholder text "Search ASX online..." and an orange "Search >" button. To the right of the search bar is a grey button labeled "Sign-in v" with a small downward arrow. A mouse cursor is pointing at the "Sign-in v" button.



A screenshot of the sign-in form on the ASX Online portal. At the top left, there is a link "< Back to ASX Online". Below this, the form has two input fields: "Email Address" and "Password". Below the "Password" field, there are two toggle buttons: "Show Password" and "Hide", with the "Hide" button currently selected. At the bottom of the form is an orange "Continue >" button. Below the "Continue >" button is a link "< Forgot your password?".




3. Assuming you have been setup with the correct permissions by your Enterprise Administrator, you will see the **Short Sales Reporting** facility in the left hand navigation.



Reveal the Short Sales Reporting options then select **Submit / update short sales report**.



 You may also navigate directly to the Submit / update short sales report page via <https://asxonline.com/short-sales-reporting>.


4. If required, select trading PID.

If your entity has multiple Trading Participant IDs (PID), select the relevant item from the available list.

Gross Short Sales Report for **Monday 01 February 2016** ?

1

Select a Trading Participant

-- Select a Trading Participant -- 

Otherwise, your entity has only one Trading Participant ID (PID) and you will see the entity name as well as trading PID already selected at the top of the page.

Gross Short Sales Report for **Monday 01 February 2016** ?

Pivot Securities -- 900-1

5. Select how you would like to enter your gross short sales.

You may choose to enter your gross short sales by:

- **Option 1** : uploading a CSV file containing the required values
- **Option 2** : manually entering the required information

2

Enter a Gross Short Sales Position

Positions can be entered by selecting one of the options below:

Upload a .CSV file

Manually enter data

6. Option 1 : uploading a CSV file containing the required values.

- a. Select **Upload a CSV file**.

2 Enter a Gross Short Sales Position

Positions can be entered by selecting one of the options below:

Upload a .CSV file **Manually enter data**

Upload a .CSV file ?

Drag your files into this area or [browse your computer](#)

Ensure your data is saved in the below format (this format is the same as the CSV format prior to the new ASX Online). Colours are for guidance only and are not required in your finalised CSV.

	A	B	C
Date: Cell A1 must include the same date as the report submission page. The date format must be dd/mm/yyyy or dd/mm/yy.	1 22/10/2016		
	2 999-9		
	3 ADP	140493	
	4 ART	71	
	5 AXA	140000	
	6 BHP	383539	
	7 CML	529699	
	8 CPA	189068	
	9 GAN	1540	
	10 GBT	40258	
	11 HVN	64065	

Trading PID: Cell A2 must include your Trading PID in the format XXX-X.

ASX code : A valid security code must be entered in column A, commencing at row 3. Only valid ASX codes are accepted.

File format: The file must be saved as a .csv. Blank lines and blank cells are not accepted.

Gross short sales volume: Quantities must be entered in column B, commencing at row 3. Zero volumes are not accepted. Any formatting, including leading negative indicators ('-'), commas as thousand separators or decimals, are not accepted.

- b. Drag and drop your CSV into the upload area or select **browse your computer**.
 - i. Select the required CSV file.
 - ii. Select **Open**.

This will import the data contained in the selected csv file and display it on the screen. From here you may edit the data in the table as required ([item 8 below](#)) or re-upload a new CSV prior to submission.

7. Option 2 : Manually entering the required information.

- a. Select **Manually enter data**.

2

Enter a Gross Short Sales Position

Positions can be entered by selecting one of the options below:

Upload a .CSV file

Manually enter data

- b. Manually enter the data. Enter ASX codes and volumes for all reportable short sales as illustrated.

Please enter your short sales positions for Monday 30 May 2016 in the table below. ?
Add new rows to the table if required.
ASX code must be a valid issuer code.
Volume must be a whole number >0 without spaces, decimal points or other characters.

This table is editable. Select a field to update the data.

ASX code	Volume	Delete
BHP	4000	✕
I		✕
		✕
		✕
		✕
		✕

[Add a new row](#) +
 [Delete all](#) ✕

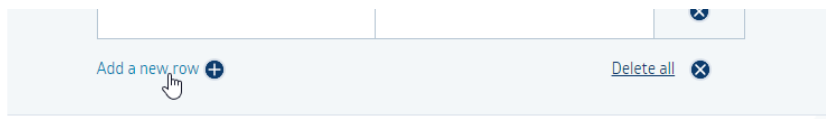
Validate and Submit Report >

Use the tab key or the mouse to move between cells. Your information will only be validated for errors once you have selected the “Validate and Submit Report” button.

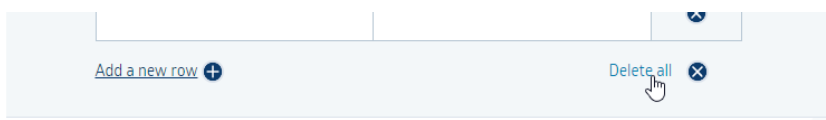
8. If required, modify the data to be submitted.

At this stage you may add, edit or delete any or all of the data that appears on the page.

- **Add** additional cells for entering more data, by selecting '**Add a new row**' located at the bottom left hand side of the table.



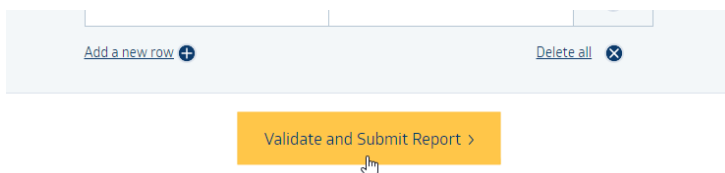
- **Edit** data by selecting the relevant cell and editing its contents.
- **Delete** individual rows by selecting the X against each desired row or, delete all data on the page by selecting '**Delete all**' located at the bottom right hand side of the table.



9. Validate and Submit the finalised report

Once all data is correct and ready to be submitted to ASX for processing select the **Validate and Submit Report** button located at the bottom of the page. This will then:

- check the information uploaded or manually entered passes validation
- submit the report if no validation errors occur



A confirmation message that your report has been successfully submitted along with the submission timestamp will appear at the top of the screen.

Confirmation: The report was successfully received at 08:46:45, Tuesday 02 February, 2016 (Sydney, AU).

Gross Short Sales Report for **Monday 01 February 2016**

Pivot Securities -- 900-1

ASX code	Volume
BHP	4000

Adjust this Report >

If an issue occurs when executing this step, you will receive an error message. Refer to [Error Messages and Troubleshooting](#) for help on issues with your submission.

If you continue to experience problems when uploading your gross short sales report please contact us on 131 ASX (131 279) for further assistance.



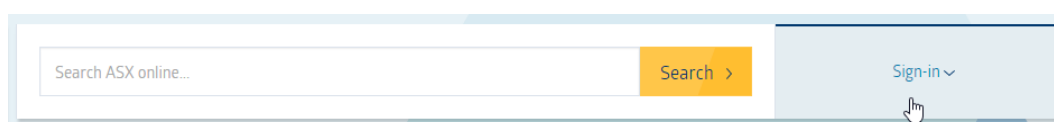
Adjusting or deleting a submitted gross short sales report

You may adjust, or remove completely, your submission as required during the reporting window. The below process outlines how to adjust or remove your submission within the reporting window.

- i** For more information on submitting a short sales report see the [Submitting a gross short sales report](#) section or, for information on prerequisites and timelines please refer to the [Before you begin](#) section.

1. Accessing the update short sales report option.

Sign in to ASX Online using your user name and password.



- 2. Under the Short Sales Reporting facility in the left hand navigation panel, select **Submit / update short sales report**.



- i** You may also navigate directly to the Submit / update short sales report page via <https://asxonline.com/short-sales-reporting>.


3. If required, select trading PID.

If your entity has multiple Trading Participant IDs (PID), select the relevant item from the available list.

Gross Short Sales Report for **Monday 01 February 2016** ?

1

Select a Trading Participant

-- Select a Trading Participant -- 

Otherwise, your entity has only one Trading Participant ID (PID) and you will see the entity name as well as trading PID already selected at the top of the page.

Gross Short Sales Report for **Monday 01 February 2016** ?

Pivot Securities -- 900-1


4. If you have previously submitted a short sales report for the trading day displayed, you will see these items displayed including the date and time the report was last successfully received. To amend this submission select **Adjust this Report >** at the bottom of the page.

Gross Short Sales Report for **Monday 01 February 2016** ?

Pivot Securities -- 900-1

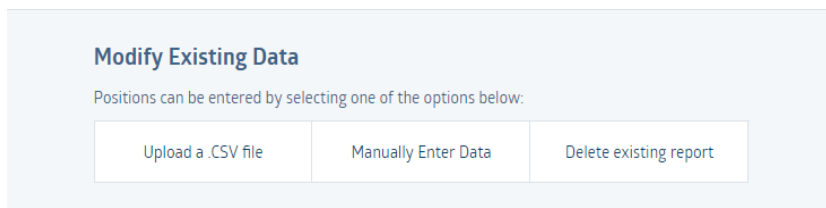
This report was last successfully received at 08:18:21, Tuesday 02 February, 2016
(Sydney, AU)

ASX code	Volume
ASX	50

Adjust this Report > 

5. You have three options for modifying your existing submission:

- **Option 1** : overwrite your submission with data from a CSV file
- **Option 2** : manually adjust your submission
- **Option 3** : delete the entire submission



Modify Existing Data

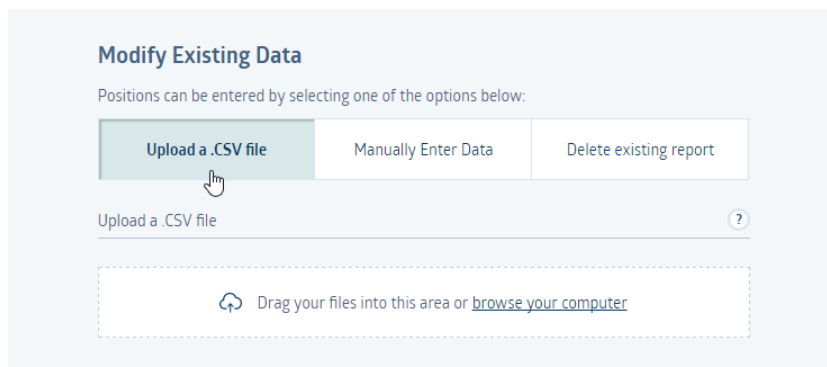
Positions can be entered by selecting one of the options below:

Upload a .CSV file	Manually Enter Data	Delete existing report
--------------------	---------------------	------------------------

6. **Option 1 : overwrite your submission with data from a CSV file**

Selecting this option you are able to **overwrite** your existing submission with data uploaded via a CSV file.

- a. Select **Upload a CSV file**.



Modify Existing Data

Positions can be entered by selecting one of the options below:

Upload a .CSV file	Manually Enter Data	Delete existing report
--------------------	---------------------	------------------------

Upload a .CSV file

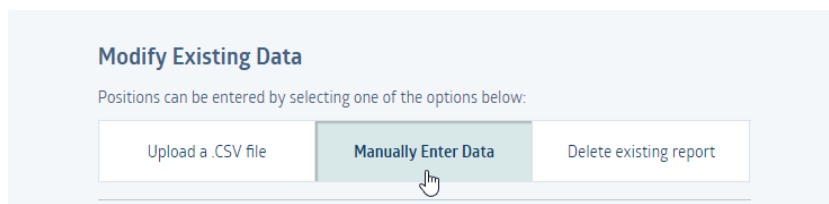
Drag your files into this area or [browse your computer](#)

Ensure your data is saved in the correct format.

i See [step 6](#) from [Submitting a gross short sales report](#) for details on how to format your CSV file.

7. Option 2 : manually adjust your submission

Selecting the **Manually Enter Data** option will display the previously entered data for editing. At this stage you may add, edit or delete any or all of the data that appears on the page.

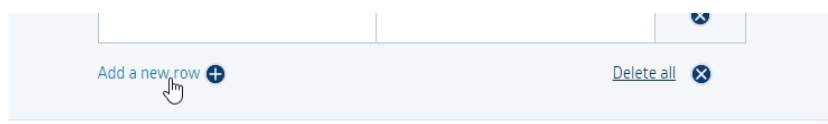


Modify Existing Data

Positions can be entered by selecting one of the options below:

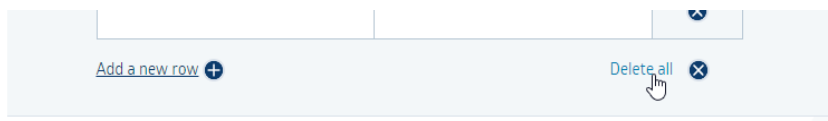
Upload a .CSV file **Manually Enter Data** Delete existing report

- **Add** additional rows for entering more data, by selecting '**Add a new row**' located at the bottom left hand side of the table.



Add a new row + Delete all x

- **Edit** data by selecting the relevant cell and editing its contents.
- **Delete** all data on the page by selecting '**Delete all**' located at the bottom right hand side of the table.



Add a new row + Delete all x

i If you intend to remove all data from your submission, then it is recommended you select **Delete existing report**. [See 8 below on how to delete an existing report.](#)

8. Option 3 : delete the entire submission

You may need to remove your previous submission entirely. To achieve this, select the **Delete existing report** option.

Modify Existing Data

Positions can be entered by selecting one of the options below:

Upload a .CSV file

Manually Enter Data

Delete existing report

☐ Delete Short Sales Report for **Monday 01 February 2016**.

Delete >

Check the box to indicate you wish to delete the report and select **Delete >**.

Modify Existing Data

Positions can be entered by selecting one of the options below:

Upload a .CSV file

Manually Enter Data

Delete existing report

☒ Delete Short Sales Report for **Monday 01 February 2016**.

Delete >

You will receive confirmation that the report was successfully deleted and no further action is required.

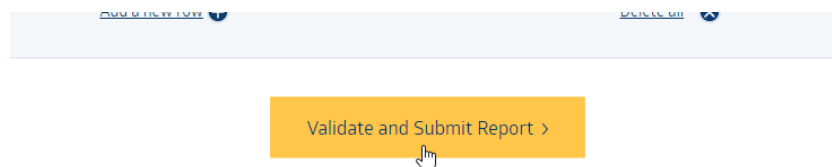
✓

Confirmation: The short sales report for 01 February 2016 has been successfully deleted.

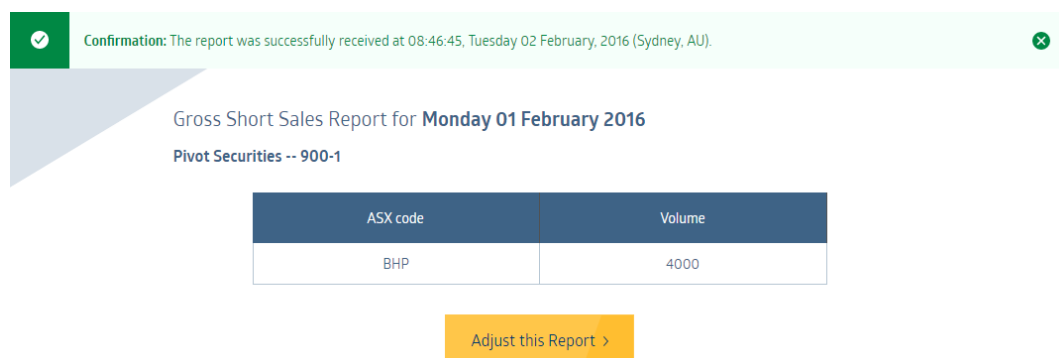
✕

9. If you intend to submit an updated report, select **Validate and Submit**

Once all data is correct and ready to be submitted to ASX for processing select the **Validate and Submit Report >** button located at the bottom of the page.



A confirmation message that your report has been successfully submitted will appear at the top of the screen.



i If an issue occurs while executing this step, an error will be displayed. Refer to [Error Messages and Troubleshooting](#) for help on issues with your submission.

If you continue to experience problems when uploading your short sales report please contact us on 131 ASX (131 279) for further assistance.

Reporting

Viewing my previously submitted short sales reports

You can view your gross short sales reports previously submitted to ASX, formerly known as broker reports. You may only view the submissions matching the Trading Participant ID (PID) you have access to. The current day's report will be available after 1pm on the day ^[LA1]your submission is due.

1. Select **View my previously submitted short sales reports**

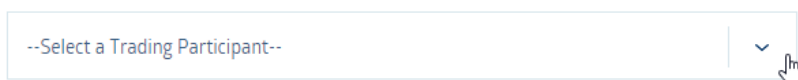


2. If required, select the relevant trading PID.

If your entity has multiple trading PIDs, select the relevant item from the available list.

Select a Trading Participant

Trading Participant



Otherwise, your entity has only one trading PID and you will see the entity name as well as trading PID already selected at the top of the page.

Short Sales Reports History

Pivot Securities -- 900-1

3. The most recent submissions from the previous 12 months are returned by default at the bottom of the page however, you may also filter your submissions using the specific range of dates you would like returned for viewing reports for the previous 7 years. Enter the desired dates and select **Filter by Date >** to return filtered results.

Filter By Date Range



The most recent reports (from the previous year) are loaded by default however, reports are available to download for the previous 7 years.

Start Date			End Date		
Day	Month	Year	Day	Month	Year
1	January	2016	31	January	2016

[Filter by Date >](#)

[Clear Dates](#)

4. To download/view a previous submission select the item from the list of results.

Select a date	Download
29 Jan 2016	CSV 
27 Jan 2016	Download the CSV CSV 

The submission will be returned as a .CSV for downloading to your computer or for further analysis using an application such as Excel.

Viewing gross short sales market reports

You can view gross short sales market reports showing the aggregated short sales reported for the market on a given trading day. The current day's report will be available after 1pm on the day the submission is due.[\[TW2\]](#)[\[LA3\]](#)

1. Select **View short sales market reports**



2. The most recently available market reports are returned by default at the bottom of the page however, you may also filter reports using a specific range of dates you would like returned for viewing. Enter the desired dates and select **Filter by Date >** to apply the date filter to the results.

Filter By Date Range

The most recent reports (from the previous year) are loaded by default however, reports are available to download for the previous 7 years.

Start Date

Day

Month

Year

End Date

Day

Month

Year

01

January

▼

2016

31

January

▼

2016



Filter by Date >

Clear Dates

Select a date below to download the short sales market report for the given trading day. Reports for the previous trading day are available after 11am.

Select a date	Download
29 Jan 2016	CSV
28 Jan 2016	CSV

3. To download/view a market report select the item from the list of results.

Select a date	Download
29 Jan 2016	CSV 
27 Jan 2016	CSV 

The report will be returned as a .CSV for downloading to your computer or for further analysis using an application such as Excel.

Error messages and troubleshooting

If an error is encountered while submitting short sales reports, a message will be displayed. Common error messages and reasons why they may have appeared are described below.

i If you continue to experience problems after reading this section please contact us on 131 ASX (131 279) for further assistance.

! The *[uploaded filename]* is not in the expected format.

Please ensure you are uploading a CSV file formatted as described in the short sales reporting user notes.

- Is the file format of the file being uploaded comma separated (i.e. .csv file extension)?

To check, open the spreadsheet (it should open in Excel) and select File Save As ... the Save as type: field located at the bottom of the Save As dialogue box should display CSV (comma delimited) (*.csv).

- How many characters does the filename have? It may not exceed 30 characters.
- Does your CSV contain any blank cells in columns A or B? Blank cells between completed cells are also not accepted.
- Does the original spreadsheet contain any zeros (0) in columns A or B? Zeros are not accepted values – whole, positive integers are expected.
- Is the quantity field formatted using commas separating the thousands and hundreds e.g. 1,000? If so, select the relevant cells and select Format Cells, select the Number tab, select General, press OK.
- To verify the formatting of your CSV is correct see [Option 1 : uploading a CSV file containing the required values.](#)

If the above does not solve your issue:

- Open a new blank spreadsheet.
- Select cells in columns A and B containing information.
- Copy these cells.



- Place the cursor in cell A1 of the blank spreadsheet and select Edit Paste Special, under the Paste section select Values and OK.
- Check that the date format is correct (dd/mm/yyyy or dd/mm/yy). If not, change the date.
- Save this spreadsheet as a comma separated file (.csv) by selecting File Save As ... select the option CSV (comma delimited) (*.csv) in the Save As type field located at the bottom of the Save As dialogue box.

❗ The *[uploaded filename]* is not in the expected format.

Please ensure the date in the file matches the correct reporting date displayed above.

- Check the date in your spreadsheet reflects the correct trading day. If submitting positions between close of trading and midnight the date should reflect the current trading day's date. If submitting positions after midnight until 09:00 the following morning, the date should be that of the previous trading day.

See [Understanding the short sales reporting timeline](#) for more information.

- Is the date in the correct format? The system accepts dd/mm/yyyy or dd/mm/yy formats only. The year must be 2 or 4 characters. The separator must be a '/' only; '-' are not accepted.
- US date format is not accepted.
- If the date appears to be correct it is possible that you have additional 'comma separators' after the date. These separators are only visible in a text editor rather than Excel. Open the file using a text editor, such as Notepad, to ascertain if there are additional comma separators (displayed as commas) after the date. If this is the case, simply delete the additional commas in your text editor, save and re-import the file.

❗ The *[uploaded filename]* is not in the expected format.

Please ensure the trading participant ID in the file matches the ID you are reporting for above.

Note: References to 'account number' and 'broker number' are now known as Trading Participant ID.

- Does the Trading Participant ID appear in cell A2?
- Is the Trading Participant ID valid?
- Is the Trading Participant ID formatted as bbb-c?

❗ **Your report contains invalid data** - Please scroll down the table, correct the errors indicated and select validate and submit report to try again.

❗ Missing or invalid ASX code.

❗ Volume must be a number between 1 and 999999999999 excluding commas, decimals and other characters.

- Does the spreadsheet contain an invalid ASX code? Only securities currently quoted on ASX will be accepted. Securities not currently quoted on ASX are indicated with an error message.
- Short positions established in 'special market' securities must be included as part of the gross short sales for the main (or parent) security. For example, if a short position is established in 'special market' code CBACD (that is, CBA trading on a CD basis of quotation), this short position must be incorporated in the gross short sales for the main (or parent) security, in this example, CBA. A short position submitted for CBACD will not be accepted since the security CBACD is not officially quoted on ASX, rather established to facilitate trading in a special market.
- Is there more than one occurrence of this ASX code? Duplicate entries are not accepted and are indicated with an error message.
- Does the spreadsheet include symbols, for example, spaces, commas (,) or negatives (-) in the quantity field or other symbols [!@#%&*(){}].
- If there are symbols in the quantity field within an uploaded spreadsheet, e.g. a comma, Excel changes the quantity to 0. The user will be required to change the format of column B to General (via the menu options in Excel: Format Cells, select Number tab) and then re-import the spreadsheet. Even if zeros are displayed on the screen they are not a valid quantity.

❗ 20004: Reporting is closed for the period you are submitting.

This message typically appears during the reporting blackout period. You may receive this error if:

- You have attempted to submit or adjust a report after the reporting cut off has passed.

See [Understanding the short sales reporting timeline](#) for more information.

- There may be another technical issue preventing you from submitting your report. Contact ASX on 131 ASX (131 279) if this message continues.

❗ 20010: No data specified

- You have submitted an empty report. Check your report submission contains data before re-attempting.