

Guide to Transaction Management

For Dealer Groups and Advisers Navigating the new AUSIEX portal

An overview of Transaction Management

The Transaction Management widgets and screens provide advisers with a unified platform for trading and client management.

The system includes Brokerage analysis, realtime trade Confirmations, Cash Ledger, and Security Movement tracking to facilitate administrative tasks and improve efficiency.

Users can manage Short Positions, optimise Debtors, and address DvP settlement exceptions with precision.

By centralising key functions and reducing process complexity, the platform enables adviser to focus on client service and operational priorities in a dynamic financial environment.

Need Help?

If you have questions or need help, please contact your BDM or our Adviser Services team.

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Bulk Allocation

Access Via:

Transactions > Upload > Bulk Allocation

Please download the template file and email directly to <u>service@ausiex.com.au</u>.

Bulk Allocation

- One file per licensee, per day. Used for equity trade allocations on your pre-approved Bulk Trading account, or alternatively for accounts set as end of day allocations (DAY order class).
- > AUSIEX requires the instruction by 4.30pm
 Sydney Time for same day processing. AUSIEX
 will inform you of any failures. All mandatory
 fields are marked with an asterix.

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BPAY Loader

Access Via:

Transactions > Upload > BPAY Loader

Please download the template file and email directly to <u>service@ausiex.com.au</u>.

BPAY Loader Allocation

- > To facilitate payment for Corporate Actions through BPAY.
- > AUSIEX will attempt to debit the linked bank account, then fund a transfer to the registry/issuer according to the BPAY instructions provided.
- > AUSIEX requires the instruction by 9am Sydney Time for same day processing. AUSIEX will inform you of any failures. All mandatory fields are marked with an asterix.

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Cash Journal

Access Via:

Transactions > Upload > Cash Journal

Please download the template file and email directly to <u>service@ausiex.com.au</u>.

Cash Journal

- > Funds transfer between accounts with the same beneficial owner.
- > Request to Debit/Credit the client account Fees.
- > Reimbursements or adjustments
- > All cash journal requests must be related to products supported by AUSIEX.
- > AUSIEX requires the instruction by 9am Sydney Time for same day processing.
- > AUSIEX will inform you of any failures. All mandatory fields are marked with an asterix.

Transaction Management

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Take Over/Buy Back Acceptance

Access Via:

Transactions > Upload > Take Over/ Buy Back Acceptance

Please download the template file and email directly to <u>service@ausiex.com.au</u>.

Take Over/Buy Back Acceptance

- > To facilitate off market take-over and buy-back acceptances.
- > On market take-overs and buy-backs are not accepted through this file.
- > AUSIEX requires the instruction by 5pm Sydney Time for same day processing.
- > Please contact your RM if you have a request which may be sent after 5pm Sydney time on the takeover closing date.
- > AUSIEX will inform you of any failures. All fields are mandatory.

Transaction Management

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Confirmations

Access via:

Live Daybook > Confirmations

Menu > Confirmations

Features:

- 1. Search by account number, name, email, or HIN
- 2. Search by security code or security name
- 3. Select a specific date range to refine results
- **4. Sort** data by any column for quick analysis
- Click More to view detailed information, including Brokerage Percentage, Fees, and Unsettled Amounts
- Apply additional filters such as Adviser Group, Transaction Type, or Trade Type for more targeted results

Tip:

For the most efficient experience, access Confirmations through the Dashboard widgets. If accessing directly from the menu, you'll be prompted to select an account first.

Confirma	ations													ø
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	Court	terparty Name FRALIAN INVESTMENT EXCHAN												

Short Cash

Access via:

Live Daybook > Settlement Actions widget > Short Cash

This feature enables you to view accounts that have negative Trading Account balances.

Refer to Debtors for details on the age of the debtor.

To investigate specific transactions related to a debtor, simply click on the **Account Name**. This will take you directly to the **Account Portfolio > Confirmations** screen, where you can review all relevant trade activity.

Settle	ement Actions	
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1	Debtors ()	\$-1,138.70
0	Missing SRN ①	\$ 0.00
1	Failed DVP (i)	\$ 1,138.70
0	Unmatched DVP T+1 (i)	\$ 0.00
0	Unmatched DVP T+2 ①	\$ 0.00
0	Security Shortfall (Short Stock) ①	\$ 0.00

Ac	counts and Client	ts												Ø
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Debtors

Access via:

Live Daybook > Settlement Actions widget > Debtors

This feature enables you to manage outstanding debtor balances, including a detailed aged breakdown for better visibility and follow-up.

To investigate specific transactions related to a debtor, simply click on the **Account Name**. This will take you directly to the **Account Portfolio > Confirmations** screen, where you can review all relevant trade activity.

Settle	ement Actions	
2	Short Cash 🛈	\$ -2,012.40
1	Debtors 🛈	\$ -1,138.70
0	Missing SRN ()	\$ 0.00
1	Failed DVP ()	\$ 1,138.70
0	Unmatched DVP T+1 (i)	\$ 0.00
0	Unmatched DVP T+2 ()	\$ 0.00
0	Security Shortfall (Short Stock) 🛈	\$ 0.00

Debtors / Creditors				Ø
Debtors				
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Search by account number, name, email or HIN	Search by adviser code or name			Clear
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Missing SRN

Access via:

Settlement Actions widget > Missing SRN

Features:

This feature allows you to efficiently manage equity sell transactions where a Shareholder Reference Number (SRN) was not provided at the time of trade.

Available Filters:

- > Account
- > Security
- > Date Range > Adviser Group

Use these filters to quickly locate and action missing SRN items, helping you stay on top of settlement requirements and maintain smooth transaction processing.

Settle	ment Actions	
2	Short Cash ①	\$-21,505.95
2	Debtors (i)	\$ -21,505.95
6	Missing SRN (i)	\$ 959,536.30
7	Failed DVP (i)	\$ 9,903.26
0	Unmatched DVP T+1 (i)	\$ 0.00
0	Unmatched DVP T+2 (i)	\$ 0.00
27	Security Shortfall (Short Stock) 🛈	\$-16,113,450.95

Confirmatio	ons										ć
Confirmations	Cash Ledger	Security Mover	nents								
Account		:	Security		Date						
Search by account n	umber, name, email or HIN		Search and add by security code	or name	Date rate	nge 🔘 Month	Financial year to date				Filters
Equity Sell Mis	sing SRN									SW 🗄 Manage Col	umns 🗸 🕑 Export
Results 6								Display	10 20 50 [1	100 Page 🧠 🤇	1 > » of
Account Number	Account Name	Adviser Code	Confirmation Number	Trade Date	Settlement Date	Security Code	Units	Price (S)	Brokerage (\$)	Net Value (\$)	SRN Number
50000225	MRS SIFI JOHN	CONAD	T20241028197665-1	28-10-2024	29-10-2024	A2M	1	7.010	0.04	6.97	Not provided
50000225	MRS SIFLJOHN	CONAD	T20241028197664-1	28-10-2024	29-10-2024	BHP	1	42.960	0.21	42.73	Not provided
50000225	MRS SIT JOHN	CONAD	120241028197663-1	29-10-2024	29-10-2024	<u>OUA</u>	1	142.960	0.71	142.18	Not provided
50000225	MRS SIFLJOHN	CONAD	T20241028197652-2	29-10-2024	29-10-2024	<u>OBA</u>	4,999	142.960	3,574.00	710,868.60	Not provided
50000225	MRS SIFLJOHN	CONAD	T20241028197650-2	28-10-2024	29-10-2024	BHP	4,999	42.960	1,074.00	213,618.60	Not provided
50000225	MRS SIFLJOHN	CONAD	T20241028197647-2	28-10-2024	29-10-2024	A2M	4,000	7.010	175.25	34,857.22	Not provided
Results 6								Display	10 20 50 1	100 Page 🧠 🤇	1 > » of
Disclaimer											Show 💊

Failed DVP

Access via:

Live Daybook > Settlement Actions widget > Failed DVP

This feature allows you to monitor and manage transactions that have failed Delivery Versus Payment (DVP) settlement.

Quickly identify failed trades and take the necessary steps to resolve settlement issues, helping maintain operational accuracy and reduce settlement risk.

Settle	ement Actions	
2	Short Cash (i)	\$-21,505.95
2	Debtors (i)	\$-21,505.95
6	Missing SRN ()	\$ 959,536.30
7	Failed DVP 🛈	\$ 9,903.26
0	Unmatched DVP T+1 ①	\$ 0.00
0	Unmatched DVP T+2 🛈	\$ 0.00
27	Security Shortfall (Short Stock) 🛈	\$-16,113,450.95

Confirma	ations										Ć
Confirmat	tions Cash Ledger	Security Mo	vements								
coount			Security		Date						
Search by acco	unt number, name, email or HIN		Search and add by security	code or name	۲	Date range 🔘 🔿	Vonth Financia	l year to date		🗇 🗌 🕻 Clear) (T Filters)
ailed DVP	Trades									f≣ Manage Colum	ans 🗸 🕑 Expor
iesults 7								Display	10 20 50 100) Page	1 > > of
Account Number	Account Name	Adviser Code	Confirmation Number	Trade Date	Settlement Date	Security Code	Trade Type	Units	Price (\$)	Failed Days	Unsettled Amount (\$)
50000208	MR SOFI ROBIN + MR	CONAD	T20241021188548-1	21-10-2024	23-10-2024	NHE	BUY	100	7.380	168	740.43
50000200	MR SOLLROBIN + MR-	CONAD	120241004187850-1	04-10-2024	00-10-2024	NAB	DUY	100	34.570	179	3,468.41
50000208	MR SOFI ROBIN + MR -	CONAD	T20240514134013-1	13-06-2024	18-06-2024	TBI	SELL	55,000	0.005	259	328.91
50000208	MR SOFI ROBIN + MR.	CONAD	T20240614134012-1	13-06-2024	18-06-2024	TRI	BUY	50,000	0.005	259	300.99
50000208	MR SOFI ROBIN + MR-	CONAD	T20240607133731-1	07-06-2024	12-06-2024	BHP	SELL	50	44.990	263	2,242.08
50000208	MR SOFT ROBIN + MR.	CONAD	120240607133730-1	07-06-2024	12-06-2024	BHB	BUY	50	45.010	263	2,257.93
50000208	MR SOFI ROBIN + MR	CONAD	T20240306130873-1	06-03-2024	08-03-2024	NAN	BUY	55	10.230	327	564.51
iesults 7								Display	7 10 20 50 100	Page 🧠 < (1 > > af
)isclaimer											Show >

Unmatched DVP T+1

Access via:

Live Daybook > Settlement Actions widget > Unmatched DVP T + 1

This feature allows you to monitor and manage transactions that have unmatched Delivery Versus Payment (DVP) settlement.

Quickly identify failed trades and take the necessary steps to resolve settlement issues, helping maintain operational accuracy and reduce settlement risk.

Settle	Settlement Actions										
52	Short Cash	\$ 208,941,885.45									
49	Debtors	\$ 208,918,116.14									
7	Missing SRN	\$ 959,536.30									
1	Unmatched DVP T+1	\$ 3,65 <mark>4</mark> .00									
0	Unmatched DVP T+2	\$ 0.00									
29	Security Shortfall (Short Stock) ①	\$ 12,203,496.89									

Confirmations	s C	ash Ledger	Security M	ovements									
Account Search by account	number, name, 4	email or HIN		Security Search and a	dd by security cod	le or name		Tr	ansaction da	ate	🛱 Clear) T Filter	• •
Unmatched D	VP T+1									Save View	f≣ Manage Colu	mns ~	Export
Account A Number	ccount Name	Adviser Code	Confirmation Number	Trade Date	Settlement Date	Security Code	Trade Type	Units	Overdue Days	Settled Amount (\$)	Net Value (\$)	Match Status	More
20640200 M	IR FRSTUSER	ROBNO	T20250328221	. 28-03-2025	01-04-2025	CBA	SELL	30	T + 1		3,654.00	UNMATCH	^
Reason		Counterparty Ref		Counterparty PIC 21008		Counterparty N	Name CUSTODIAN						

Unmatched DVP T+2

Access via:

Live Daybook > Settlement Actions widget > Unmatched DVP T + 2

This feature allows you to monitor and manage transactions that have unmatched Delivery Versus Payment (DVP) settlement.

Quickly identify failed trades and take the necessary steps to resolve settlement issues, helping maintain operational accuracy and reduce settlement risk.

Settlement Actions											
52	Short Cash	\$ 208,941,885.45									
49	Debtors	\$ 208,918,116.14									
7	Missing SRN	\$ 959,536.30									
0	Unmatched DVP T+1	\$ 0.00									
1	Unmatched DVP T+2	\$ 3,65 4 .00									
29	Security Shortfall (Short Stock) ①	\$ 12,203,496.89									

Short Positions						¢
Dealer group		Adviser		Account		
SEG - ABC GROUP PTY LTD		CONAD - VOSMUAT VOSMQDWNQS	i	Search by account number, name, email or	HIN	Clear
Short Positions					Save View E Manage Colum	nns 🗸 🕐 Export
Results 3				Display 10	20 50 100 Page << <	1 > > of1
Dealer Group	Account Name	Account Number	Adviser		Market Value (\$) Short Holdin	gs Details
ABC GROUP PTY LTD	MR INDCLNT LASTFA	50000236	CONAD - VOSMUAT VOS VOSMQDWNQS		-4,004.80 2	^
Security Code	Settled Units	Unsettled Units	Short Fall Units	Market Value (\$)	Actions	
PPS	0	20	-20	-11.80	View Movements	0
BHP	0	-121	-121	-3,993.00	View Movements	
ABC GROUP PTY LTD	MS RON HENDERSON	<u>50000227</u>	CONAD - VOSMUAT VOS VOSMQDWNQS		-26,040.47 3	~
AUC GROUP PTY LLD	MRS SET JOHN	50000225	CONAD - VOSMUAT VOS VOSMQDWINQS		-16,083,405.68	~
Results 3				Display 10	20 50 100 Page 🗠 <	1 → ≫ of 1

Security Shortfall

Access via:

Live Daybook > Settlement Actions widget > Security Shortfall

This feature helps you manage unsettled sell transactions where the required holdings are not currently available.

The **Market Value** displayed represents the estimated cost to purchase the necessary securities to settle these outstanding sell trades.

Settlement Actions	
2 Short Cash (i)	\$-21,505.95
2 Debtors (i)	\$-21,505.95
6 Missing SRN ①	\$ 959,536.30
7 Failed DVP ①	\$ 9,903.26
0 Unmatched DVP T+1 (i)	\$ 0.00
0 Unmatched DVP T+2 ()	\$ 0.00
27 Security Shortfall (Short Stock) ①	\$ -16,113,450.95

Short Positions						¢
Dealer group		Adviser		Account		
SEG - ABC GROUP PTY LTD		CONAD - VOSMUAT VOSMQDWNQS		Search by account number, name, email or F	HIN	Clear
Short Positions					E Save View E Manage Columns V	Export
Results 3				Display 10	20 50 100 Page << < 1	> >> of 1
Dealer Group	Account Name	Account Number	Adviser		Market Value (\$) Short Holdings	Details
ABC GROUP PTY LTD	MR INDCLNT LASTFA	<u>50000236</u>	CONAD - VOSMUAT VOS VOSMQDWNQS		-4,004.80 2	^
Security Code	Settled Units	Unsettled Units	Short Fall Units	Market Value (\$)	Actions	
PPS	0	-20	-20	-11.80	View Movements	
BHP	0	-121	-121	-3,993.00	View Movements	
ABC GROUP PTY LTD	MS RON HENDERSON	<u>50000227</u>	CONAD - VOSMUAT VOS VOSMQDWNQS		-26,040.47 3	~
AUC GROUP PTY LTD	MRS SILLJOLIN	50000225	CONAD - VOSMUAT VOS VOSMQDWNQS		-16,003,405.68 3	~
Results 3				Display 10	20 50 100 Page 🧠 < 🚺	⇒ ⇒ of 1

Brokerage

Access via:

Live Daybook > Brokerage

Transactions > Brokerage

This screen provides a detailed, top-down breakdown of brokerage activity, organised by **Account > Transactions**.

Features:

- Use Dashboard widgets for quick access to preset date ranges: Today, Month-to-Date (MTD), and Financial Year-to-Date (FYTD)
- 2. Download a summary report or export to CSV for further analysis
- **3. Graphs** illustrate brokerage concentration across individual accounts
- Click Select > to drill down into the brokerage activity of a specific account



esults 6				Display 10 20 50 100	Page 1 0
ocount Number	Account Name	Brokerage Today (\$)	Brokerage MTD (\$)	Brokerage FYTD (\$)	Go To Transactions
50000236	MRINDCLNT LASTFA-	0.00	0.00	120.00	Select >
0000208	MR.SOFI ROBIN + MR.	0.00	0.00	12.56	(Select >)
0000225	MBS SIFLIOHN	0.00	0.00	35,182.38	(Select >)
0000247	MRS 3IFLJOHN1	0.00	0.00	60.00	(Select >)
0000227	MS RON HENDERSON	0.00	40.00	39,488.38	(Select >)
0000226	BAJ CONSTRUCTION	0.00	0.00	312.15	Select >
OTAL		0.00	40.00	75,175,49	

Go To Transactions

Access via:

Live Daybook > Brokerage > Go To Transactions

Transactions > Brokerage > Go To Transactions

This screen provides a detailed breakdown of Confirmations for a selected Account within a specified date range.

Features:

- Use Dashboard widgets for quick access to preset date ranges: Today, Month-to-Date (MTD), and Financial Year-to-Date (FYTD)
- 2. Export to CSV for further analysis and reporting
- **3.** All columns are sortable, allowing you to organize data based on your preferred criteria

Brokerage									¢	
(Adviser) > (Account) > (Transa	action									
Dealer group name & code ABC GR	ROUP PTY LTD - SFG	Adviser cod	le & name CONAD - VOSMUAT	VOS VOSMQDWN	qs		Account number	Account number & Account holder name 50000227 - MS RON HENDERSON		
Date period Cate range Transaction Brokerage	Month to date Year to date		FY 2024-2025					B Save View E Manage	2 Columns v (Export	
Results 6							Display 10	20 50 100 Page «	< 1 >	
Transaction Reference	Brokerage Amount (\$)	Trade Date	Security Code	Trade Type	3	Unit	Price (\$)	Principal Amount (\$)	Net Amount (S)	
120241112198505-1	10,801.44	12-11-2024	ANZ	BUY		12,000	300.04	-3,600,480.00	-3,612,361,58	
T20240910149142-1	2,699.97	10-09-2024	ANZ	SELL		99,999	9.00	899,991.00	897,021.03	
T20240910149143-1	2,690.97	10-09-2024	A2M	SELL		99,999	9.00	899,991.00	897,021.03	
T20241112198496-1	12,054.00	12-11-2024	ANZ	SELL		140,000	28.70	4,018,000.00	4,004,740.60	
T202411121984951	11,193.00	12 11 2024	AN7	SEU		130,000	28.70	3,731,000.00	3,718,687.70	
T20250610249309-1	40.00	10-06-2025	ANZ	BUY		10	28.70	-287.00	-531.00	
Results 6							Display 10	20 50 100 Page <<	< 1 > » of 1	

Transaction Management

Corporate Action Event

Access Via:

Corporate Action Diary > Date

Quotes & Tools > Corporate Action Event

To view upcoming corporate actions:

- Navigate to My Holdings and click on a specific date to quickly access the Corporate Action Events screen.
- 2. This screen displays a list of securities with pending corporate actions scheduled for that day.
- **3.** Click on any row to view the **impacted accounts**.
- A detailed list of account holders will be shown, including their email contact details for easy communication.



Security code		Event type				
Search and add by security code or name		Select event type V	All	My Holdings	Clear < 1	2-06-2025 > Day Week Month
Corporate Action Events Nuc Copport Action data is necessarily and may not exercise at Corporate Action information or events. This content is a guide only and you should refer to announcements published by the applicable market generate.						
Results 4					Display 10	20 50 100 Page << < 1 > >> of 1
Ex Date	Security Code	Security Name	÷	Record Date	Event Type	Event Description
12-06-2025	EVEDA	EVE HEALTH GROUP LIMITED. ORDINARY FULLY PAID		13-06-2025	Bonus issues (PARI)	Bonus issues (PARI)
12-06-2025	WBCPM	WESTPAC BANKING CORPORATION CAP NOTE 3-BBS	2	13-06-2025	Cash Dividend	Cash Dividend on Stock
12-06-2025	WECPH	WESTPAC BANKING CORPORATION CAP NOTE 3-BBS		13-06-2025	Cash Dividend	Cash Dividend on Stock
12-06-2025	WBCPJ	WESTPAC BANKING CORPORATION CAP NOTE 3-BBS		13-06-2025	Cash Dividend	Cash Dividend on Stock

0	orporate Action Summary							
	Event type	Bonus issues (PARI)		Event description	Bonus issues (PARI)			
	inderlying security code EVEDA			Underlying security name	EVE HEALTH GROUP LIMITED.	ORDINARY FULLY PAID DEFERRED SETTLEMENT		
	Ex-date	12-06-2025		Record date	13-06-2025	Adjustment date	13-06-2025	
	Allotted security code	3	Allotted security name	EVE HEALTH GROUP LIMITED.	ORDINARY FULLY PAID DEFERRED SETTLEMENT			
	Allotted shares	1		Per share	1			
	kme: Corporate Action data is sourced from a third party and may	Topogre Action after is sourced from a tricit party and may another in an another in the part of the action of the						
ŀ	Holding Accounts						Export	
R	kesults 2					Display 10	20 50 100 Page << 1 > > of 1	
	Account Name		Account Number	Holding	Email		Phone Number	
	OG CMEZEU MUPJIKR.		20001933	25000.000	test@corese	rvices.com.au		
	OG CMEZEU MURJIKR		20001933	25880.000	lest@corese	rvices.com.au		



Need help?

If you have questions, please contact your adviser.

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