

# 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, real-time 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 [service@ausiex.com.au](mailto:service@ausiex.com.au).

## 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.

## Transaction Management

The screenshot shows the AUSIEX Bulk Allocation web interface. The top navigation bar includes links for Clients, Quotes & Tools, Market Research, Trade, Reports, Transactions, Administration, and Contact Us. The main heading is "Bulk Allocation".

**How to upload a Bulk Allocation File**

**Step 1**

- > Download and complete the [Bulk Allocation Template](#).
- > Ensure that all fields are completed for the upload of the Bulk Allocation file to be successful, noting that **any missing fields will result in a rejection**.
- > Double check all details are correct before submitting the file.

**Step 2**

- > Ensure the file is saved as a .xlsx is no more than 5MB in size.
- > Upload completed .xlsx file.

**Step 3**

- > View upload and status results in the "Upload File History" table below.

For questions or support, please contact your Business Development Manager or our Service Team on 1800 252 351 or [service@ausiex.com.au](mailto:service@ausiex.com.au)

**Submit file**

Drag and drop or  
Select Upload File

**Upload File History**  
Fri 13 Jun 2025 8:26 AM (Sydney Time)

Uploaded by: Search by user id, name or email | Status:  All  Success  In Progress  Failed | Uploaded date: Select date range

Results 0

Uploaded File	Uploaded At	Uploaded By	Updated By	Remarks	Status	Update Status
No records available						

Results 0

The bottom part of the screenshot shows an Excel spreadsheet template for the Bulk Allocation file. The spreadsheet has columns A through L. The header row (row 1) is labeled "Order Details" and "Allocation Details". The data rows (rows 2-7) have the following headers:

Order Date(*)	Order Quantity	Order Account No(*)	Account No Type	Security ID(*)	Security Code Type	Buy/Sell Flag(*)	Trade Date	Allocation Account No(*)	Account No Type	Quantity(*)	Price

# BPAY Loader

## Access Via:

[Transactions](#) > [Upload](#) > [BPAY Loader](#)

Please download the template file and email directly to [service@ausiex.com.au](mailto:service@ausiex.com.au).

## 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.

## Transaction Management

### BPAY Loader

#### How to upload a BPAY Loader File

- Step 1**
- > Download and complete the [BPAY Loader Template](#).
  - > Ensure that all fields are completed for the upload of the BPAY Loader file to be successful, noting that any missing fields will result in a rejection.
  - > Double check all details are correct before submitting the file.
- Step 2**
- > Ensure the file is saved as a .xlsx is no more than 5MB in size.
  - > Upload completed .xlsx file.
- Step 3**
- > View upload and Status results in the "Upload File History" table below.
- For questions or support, please contact your Business Development Manager or our Service Team on 1800 252 351 or [service@ausiex.com.au](mailto:service@ausiex.com.au)

**Submit file**



**Drag and drop or**

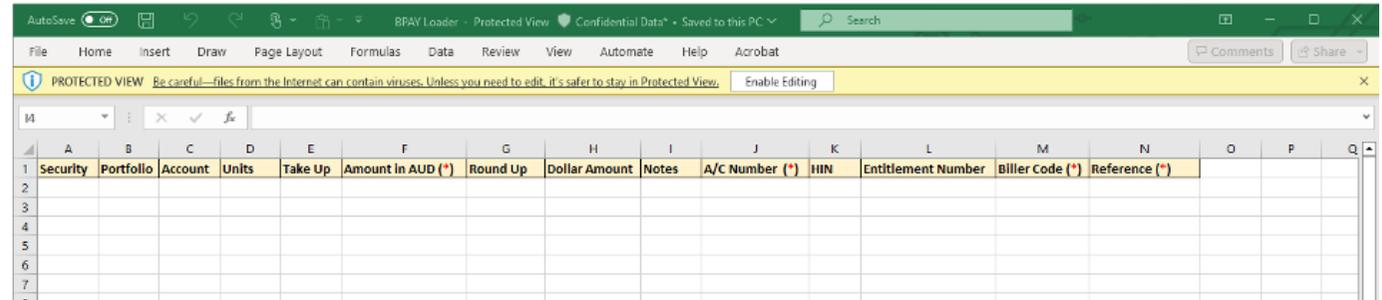
Select Upload File

Upload

#### Upload File History

Fri 13 Jun 2023 9:29 AM (Sydney Time)

Uploaded by	Status	Uploaded date				
<input type="text" value="Search by user id, name or email"/>	<input checked="" type="radio"/> All <input type="radio"/> Success <input type="radio"/> In Progress <input type="radio"/> Failed	<input type="text" value="Select date range"/>				
Status <span style="color: green;">✔</span> = Success <span style="color: orange;">⏸</span> = In Progress <span style="color: red;">✖</span> = Failed						
Uploaded File	Uploaded At	Uploaded By	Updated By	Remarks	Status	Update Status
No records available						



Security	Portfolio	Account	Units	Take Up	Amount in AUD (*)	Round Up	Dollar Amount	Notes	A/C Number (*)	IIIN	Entitlement Number	Billier Code (*)	Reference (*)

# Cash Journal

## Access Via:

[Transactions](#) > [Upload](#) > [Cash Journal](#)

Please download the template file and email directly to [service@ausiex.com.au](mailto:service@ausiex.com.au).

## 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

1	GST Inclusive	Transaction Type	Account Balance Type	Status	Withhold	Rejection	Bank Rejection Reason Code	Way Of Payment	Offset Transaction Type
2	Y	Brokerage Adjustment	2: Margin	NORMAL	Y	Y	DE INVALID BSB	CMT	IPO
3		Trade	10: Free	CANCEL			DE PAYMENT STOPP	EFT	
4		Securities Lending					DE A/C CLOSED	DVP	
5		Fail Fees					DE DEC'D CUST	DIRECT ENTRY	
6		Trade Adjustment					DE NO ACCOUNT	BPAY	
7		Subscription Fee					DE REFER TO CUST		
8		Other Fees					DE INVALID USER		
9		Funds Adjustment For Intl Trade					DE TECH INVALID		
10		CA Adjustment Obligation (Cash Market)							
11		Miscellaneous Income							
12		Off Market Transfer Fee							
13		Interest Income - Client Early Payments							
14		BPAY Payments							
15		Miscellaneous Expense							
16		Rejection							
17		FTO Margin Obligation							

# Take Over/Buy Back Acceptance

## Access Via:

[Transactions](#) > [Upload](#) > [Take Over/Buy Back Acceptance](#)

Please download the template file and email directly to [service@ausiex.com.au](mailto:service@ausiex.com.au).

## 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

**AUSIEX**  
an NGL company

Clients Quotes & Tools Market Research Trade Reports Transactions Administration Contact Us

### Take Over/ Buy Back Acceptance

**How to upload a Take Over/ Buy Back Acceptance File**

**Step 1**

- > Download and complete the [Take Over/ Buy Back Acceptance Template](#).
- > Ensure that all fields are completed for the upload of the Take Over/ Buy Back Acceptance file to be successful, noting that **any missing fields will result in a rejection**.
- > Double check all details are correct before submitting the file.

**Step 2**

- > Ensure the file is saved as a xls is no more than 5MB in size.
- > Upload completed xls file.

**Step 3**

- > View upload and Status results in the "Upload File History" table below.

For questions or support, please contact your Business Development Manager or our Service Team on 1800 252 351 or [service@ausiex.com.au](mailto:service@ausiex.com.au)

**Submit file**

Drag and drop or  
Select Upload File

Upload

**Upload File History**  
Fri 13 Jun 2025 8:34 AM (Sydney Time)

Uploaded by: Search by user id, name or email | Status:  All  Success  In Progress  Failed | Uploaded date: Select date range | Clear

Results 0 | Status: ✔ = Success 🔄 = In Progress ▲ = Failed

Uploaded File	Uploaded At	Uploaded By	Updated By	Remarks	Status	Update Status
No records available						

Take over buy back acceptance Upload - Protected View

File Home Insert Draw Page Layout Formulas Data Review View Automate Help Acrobat

PROTECTED VIEW Be careful—files from the Internet can contain viruses. Unless you need to edit, it's safer to stay in Protected View. Enable Editing

	A	B	C	D	E
1	Security Code	HIN	Takeover Code	Unit Quantity Accepted	Distinct Portion Indicator
2					
3					
4					
5					
6					
7					
8					
9					
10					

# 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
5. Click **More** to view detailed information, including **Brokerage Percentage, Fees, and Unsettled Amounts**
6. 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.

Confirmations

Confirmations | Cash Ledger | Security Movements

Account: Search by account number, name, email or HIN **1** | Security: Search and add by security code or name **2** | Date:  Date range  Month  Financial year to date **3** | Jun-2025 | Clear | Filters

Adviser: Search by adviser code or name **6** | Transaction type filters: All equity trades **6** | Trade type:  ALL  BUY  SELL **6**

VLM VALERIE

Confirmations | Save View | Manage Columns | Export

Results 12 | Display 10 20 50 **100** | Page 1 of 1

Account Number	Account Name <b>4</b>	Confirmation Number	Order Number	Trade Date	Settlement Date	Security Code	Trade Type	Units	Price (\$)	Brokerage (\$)	Total GST (\$)	Net Value (\$)	Status	More <b>5</b>
20644435	MISS LEXIE SHLY	T20250624266565-1		25-05-2025	27-05-2025	JLIR	BUY	25	33.070	24.50	2.45	973.70	Confirmed	
20644436	MISS LEXIE ORFY	T20250624266565-2		24-05-2025	26-05-2025	TAH	BUY	100	0.530	0.00	0.00	52.00	Confirmed	
20644439	MISS LEXIE BREY	T20250624266565-2		24-05-2025	26-05-2025	TAH	BUY	100	0.530	0.00	0.00	52.00	Confirmed	
20644436	MISS LEXIE ORFY	T20250624266576-2		24-05-2025	26-05-2025	FMS	BUY	150	13.500	0.00	0.00	2,025.00	Confirmed	
20644436	MISS LEXIE ORFY	T20250624266576-2		24-05-2025	26-05-2025	FMS	BUY	150	13.500	0.00	0.00	2,025.00	Confirmed	
20644449	MR GEORGE O'MAL	T20250624266765-2		24-05-2025	26-05-2025	FMS	BUY	100	12.915	0.00	0.00	1,291.50	Confirmed	
20644449	MR GEORGE O'MAL	T20250624266765-2		24-05-2025	26-05-2025	FMS	BUY	100	12.915	0.00	0.00	1,291.50	Confirmed	
20644449	MR GEORGE O'MAL	T20250619257745-2		19-05-2025	23-05-2025	TAH	BUY	500	0.540	0.00	0.00	270.00	Confirmed	
20644449	MR GEORGE O'MAL	T20250619257795-2		19-05-2025	23-05-2025	TAH	BUY	66	0.545	0.00	0.00	35.97	Confirmed	
20644449	MR GEORGE O'MAL		Brokerage GST (\$)	Admin Fee (\$)	Admin Fee GST (\$)	Miscellaneous Fee (\$)	Miscellaneous Fee GST (\$)	Settled Amount (\$)						
20644436	MISS LEXIE ORFY		2.45	0.00	0.00									
20645737	MISS LEXIE ORFY		Unsettled Amount (\$)	Cash Completion Date	Unsettled Units	Security Completion Date	Settlement Type	Brokerage Percentage						
			873.70		25		Sponsored - Non-DVP	0.11% or \$26.95 min Inc.GST						
			Match Status	SRN Number	is SRN Trade	DVP Eligible	Security Name	Counterparty PID						
							BHP GROUP LIMITED ORDINARY FULL	07950						
			Counterparty Name											
			AUSTRALIAN INVESTMENT EXCHANGE											

# 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.

Settlement Actions	
2	Short Cash ⓘ <span style="float: right;">\$ -2,012.40</span>
1	Debtors ⓘ <span style="float: right;">\$ -1,138.70</span>
0	Missing SRN ⓘ <span style="float: right;">\$ 0.00</span>
1	Failed DVP ⓘ <span style="float: right;">\$ 1,138.70</span>
0	Unmatched DVP T+1 ⓘ <span style="float: right;">\$ 0.00</span>
0	Unmatched DVP T+2 ⓘ <span style="float: right;">\$ 0.00</span>
0	Security Shortfall (Short Stock) ⓘ <span style="float: right;">\$ 0.00</span>

### Accounts and Clients

Account:  Adviser code:  Clear Account Client Filters ▼

Account Information Save View Manage Columns Export

Results 3 Display 10 20 50 100 Page 1 of 1

Account Name	Account Number	Account Owner Type	Product Type	Settlement Type	Adviser Code	Portfolio Value (\$)	Market Value (\$)	Total Cost (\$)	Profit/Loss (\$)	Profit/Loss (%)	Trading Account Balance (\$)	Integrated Cash Balance (\$)	More
★ AX LWLDARV AHPNJB..	0432352	Individual	Australian Share Tra...	Direct Debit	ZAG21	54,657.14	54,847.79	48,536.02	6,311.77	13.00	-139.65	-	▼
★ MS SIPANWILA KARALI	20646787	Individual	Australian Share Tra...	Direct Debit	ZAG21	5,485.84	6,095.78	3,484.71	2,611.07	74.93	-509.94	-	▼
☆ LLL YSHPPEQDDLD..	6782252	Trust	Australian Share Tra...	Macquarie CMA	ZAG21	-27.50	-	-	-	-	-27.50	-	▼

Results 3 Display 10 20 50 100 Page 1 of 1

# 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.

Settlement Actions	
2	Short Cash ⓘ <span style="float: right;">\$ -2,012.40</span>
1	Debtors ⓘ <span style="float: right;">\$ -1,138.70</span>
0	Missing SRN ⓘ <span style="float: right;">\$ 0.00</span>
1	Failed DVP ⓘ <span style="float: right;">\$ 1,138.70</span>
0	Unmatched DVP T+1 ⓘ <span style="float: right;">\$ 0.00</span>
0	Unmatched DVP T+2 ⓘ <span style="float: right;">\$ 0.00</span>
0	Security Shortfall (Short Stock) ⓘ <span style="float: right;">\$ 0.00</span>

### Debtors / Creditors

**Debtors**

Account

Advertiser

VLM - VALERIE ...

[Clear](#)

**Debtors** [Save View](#) [Manage Columns](#) [Export](#)

Results 1 Display 10 20 50 **100** Page 1 of 1

Advertiser Code	Advertiser Name	Account Number	Account Name	Outstanding Since	Portfolio Value (\$)	Integrated Cash Balance (\$)	Overdue Value (\$)	Trade Balance (\$)	T (\$)	T+1 (\$)	T+2 (\$)	T+3 (\$)	T+4
VLM	VALERIE MACKAY	<a href="#">20645737</a>	<a href="#">MISS LEXIE GREY</a>	12-06-2025	1,590,550	-	-1,138.70	-1,138.70	0.00	0.00	0.00	0.00	0.

# 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](#)
- [> Date Range](#)
- [> Security](#)
- [> 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.

Settlement Actions	
2	Short Cash ⓘ <span style="float: right;">\$ -21,505.95</span>
2	Debtors ⓘ <span style="float: right;">\$ -21,505.95</span>
6	Missing SRN ⓘ <span style="float: right;">\$ 959,536.30</span>
7	Failed DVP ⓘ <span style="float: right;">\$ 9,903.26</span>
0	Unmatched DVP T+1 ⓘ <span style="float: right;">\$ 0.00</span>
0	Unmatched DVP T+2 ⓘ <span style="float: right;">\$ 0.00</span>
27	Security Shortfall (Short Stock) ⓘ <span style="float: right;">\$ -16,113,450.95</span>

### Confirmations 📄

[Confirmations](#)

[Cash Crigger](#)

[Security Movements](#)

**Account**

**Security**

**Date**

 Date range  Month  Financial year to date

**Equity Sell Missing SRN**

Results 6												Display 10 20 50 100	Page 1 of 1
Account Number	Account Name	Adviser Code	Confirmation Number	Trade Date	Settlement Date	Security Code	Units	Price (\$)	Brokerage (\$)	Net Value (\$)	SRN Number		
50000225	MRS SIFL JOHN	CONAD	T20241028197665-1	28-10-2024	29-10-2024	A2M	1	7.010	0.04	6.97	Not provided		
50000225	MRS SIFL JOHN	CONAD	T20241028197664-1	28-10-2024	29-10-2024	BHP	1	42.960	0.21	42.73	Not provided		
50000225	MRS SIFL JOHN	CONAD	T20241028197663-1	28-10-2024	29-10-2024	CMA	1	142.960	0.71	142.10	Not provided		
50000225	MRS SIFL JOHN	CONAD	T20241028197662-2	28-10-2024	29-10-2024	CMA	4,999	142.960	3,574.00	710,868.60	Not provided		
50000225	MRS SIFL JOHN	CONAD	T20241028197660-2	28-10-2024	29-10-2024	BHP	4,999	42.960	1,074.00	213,618.60	Not provided		
50000225	MRS SIFL JOHN	CONAD	T20241028197647-2	28-10-2024	29-10-2024	A2M	4,999	7.010	175.25	34,857.22	Not provided		

Results 6

[Disclaimer](#)

# 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.

Settlement Actions	
2	Short Cash ⓘ <span style="float: right;">\$ -21,505.95</span>
2	Debtors ⓘ <span style="float: right;">\$ -21,505.95</span>
6	Missing SRN ⓘ <span style="float: right;">\$ 959,536.30</span>
7	Failed DVP ⓘ <span style="float: right;">\$ 9,903.26</span>
0	Unmatched DVP T+1 ⓘ <span style="float: right;">\$ 0.00</span>
0	Unmatched DVP T+2 ⓘ <span style="float: right;">\$ 0.00</span>
27	Security Shortfall (Short Stock) ⓘ <span style="float: right;">\$ -16,113,450.95</span>

### Confirmations

Confirmations
Cash Ledger
Security Movements

Account

Security

Date

 Date range
  Month
  Financial year to date
 
Clear
Filters

Save View
Manage Columns
Export

#### Failed DVP Trades

Results 7												Display 10 20 50 100 Page 1 of 1
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	T20241021188545-1	21-10-2024	23-10-2024	NHF	BUY	100	7.380	168	740.43	
50000200	MR SOFI ROBIN + MR.	CONAD	T20241004197953-1	04-10-2024	08-10-2024	NOU	BUY	100	34.570	179	3,480.41	
50000208	MR SOFI ROBIN + MR.	CONAD	T20240614134013-1	13-06-2024	18-06-2024	TBI	SELL	55,000	0.006	259	328.91	
50000208	MR SOFI ROBIN + MR.	CONAD	T20240614134012-1	13-06-2024	18-06-2024	TBI	BUY	50,000	0.006	259	300.99	
50000200	MR SOFI ROBIN + MR.	CONAD	T20240607133731-1	07-06-2024	12-06-2024	BHP	SELL	50	44.990	263	2,242.08	
50000200	MR SOFI ROBIN + MR.	CONAD	T20240607133730-1	07-06-2024	12-06-2024	WUP	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	

Results 7
Display 10 20 50 100 Page 1 of 1

Disclaimer 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.

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	\$ 3,654.00
0	Unmatched DVP T+2	\$ 0.00
29	Security Shortfall (Short Stock) ⓘ	\$ 12,203,496.89

Confirmations
Cash Ledger
Security Movements

Account

Security

Transaction date

Clear
Filters

Unmatched DVP T+1
Save View
Manage Columns
Export

Account Number	Account Name	Adviser Code	Confirmation Number	Trade Date	Settlement Date	Security Code	Trade Type	Units	Overdue Days	Settled Amount (\$)	Net Value (\$)	Match Status	More
<a href="#">20640200</a>	<a href="#">MR FRSTUSER...</a>	ROBNO	T20250328221...	28-03-2025	01-04-2025	<a href="#">CBA</a>	SELL	30	T + 1		3,654.00	UNMATCH	^

Reason	Counterparty Ref	Counterparty PID	Counterparty Name
		21008	PIRIE STREET 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 <span style="float: right;">\$ 208,941,885.45</span>
49	Debtors <span style="float: right;">\$ 208,918,116.14</span>
7	Missing SRN <span style="float: right;">\$ 959,536.30</span>
0	Unmatched DVP T+1 <span style="float: right;">\$ 0.00</span>
1	Unmatched DVP T+2 <span style="float: right;">\$ 3,654.00</span>
29	Security Shortfall (Short Stock) ⓘ <span style="float: right;">\$ 12,203,496.89</span>

### Short Positions

Dealer group: SFG - ABC GROUP PTY LTD | Adviser: CONAD - VOSMUAT VOSVOSMODWNOS | Account: Search by account number, name, email or HIN Clear

Save View | Manage Columns | 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	<a href="#">MR INDCLINT LASTFA...</a>	<a href="#">50000236</a>	CONAD - VOSMUAT VOS VOSMODWNOS	-4,004.80	2	^
Security Code	Settled Units	Unsettled Units	Short Fall Units	Market Value (\$)	Actions	
DPS	0	-20	-20	11.80	<a href="#">View Movements</a>	
BHE	0	-121	-121	-3,993.00	<a href="#">View Movements</a>	
ABC GROUP PTY LTD	<a href="#">MS RON HENDERSON</a>	<a href="#">50000227</a>	CONAD - VOSMUAT VOS VOSMODWNOS	-26,343.47	2	^
ABC GROUP PTY LTD	<a href="#">MRS SILL JUDITH</a>	<a href="#">50000225</a>	CONAD - VOSMUAT VOS VOSMODWNOS	-16,051,405.68	2	^

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

### Short Positions

Dealer group: SFG - ABC GROUP PTY LTD | Adviser: CONAD - VOSMUAT VOS VOSMODWNOS | Account: Search by account number, name, email or HIN [Clear]

Short Positions [Save View] [Manage Columns] [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	<a href="#">MR INDCINT LASTFA...</a>	<a href="#">50000236</a>	CONAD - VOSMUAT VOS VOSMODWNOS	-4,004.80	2	^
	<b>Security Code</b>	<b>Settled Units</b>	<b>Unsettled Units</b>	<b>Short Fall Units</b>	<b>Market Value (\$)</b>	<b>Actions</b>
	DPS	0	20	20	11.80	<a href="#">View Movements</a>
	BHP	0	-121	-121	-3,993.00	<a href="#">View Movements</a>
ABC GROUP PTY LTD	<a href="#">MR RON HENDERSON</a>	<a href="#">50000227</a>	CONAD - VOSMUAT VOS VOSMODWNOS	-25,040.47	2	^
ABC GROUP PTY LTD	<a href="#">MRS SILL JOHN</a>	<a href="#">50000225</a>	CONAD - VOSMUAT VOS VOSMODWNOS	-16,083,405.66	2	^

Results 3 | Display 10 20 50 100 Page 1 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:

1. 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
4. Click **Select** > to drill down into the brokerage activity of a specific account

## Transaction Management



The screenshot shows the 'Account Brokerage' table. It has a search bar, 'Manage Columns', and 'Export' buttons. The table has columns for 'Account Number', 'Account Name', 'Brokerage Today (\$)', 'Brokerage MTD (\$)', 'Brokerage FYTD (\$)', and 'Go To Transactions'. There are 6 results shown. The 'TOTAL' row is at the bottom.

Account Number	Account Name	Brokerage Today (\$)	Brokerage MTD (\$)	Brokerage FYTD (\$)	Go To Transactions
50000226	MR INDCLNT LASTFA	0.00	0.00	120.00	Select >
50000208	MR SOFI ROBIN + MR	0.00	0.00	12.56	Select >
50000225	MRS SIEI JOHN	0.00	0.00	35,182.38	Select >
50000247	MRS SIEI JOHN1	0.00	0.00	60.00	Select >
50000227	MS RON HENDERSON	0.00	40.00	39,488.38	Select >
50000226	BAJ CONSTRUCTION	0.00	0.00	312.15	Select >
TOTAL		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:

1. 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

🔍

Advertiser > Account > Transaction

Dealer group name & code: ABC GROUP PTY LTD - SFG
Advertiser code & name: CONAD - VOSMUAT VOS VOSMQDWNDS
Account number & Account holder name: 50000227 - MS RON HENDERSON

Date period

Date range
  Month to date
  Year to date

FY 2024-2025

Transaction Brokerage
Save View
Manage Columns
Export

Transaction Reference	Brokerage Amount (\$)	Trade Date	Security Code	Trade Type	Unit	Price (\$)	Principal Amount (\$)	Net Amount (\$)
T20241112199505-1	10,801.44	12-11-2024	ANZ	BUY	12,000	300.04	-3,600,480.00	-3,612,281.56
T20240910149142-1	2,090.97	10-09-2024	ANZ	SELL	99,999	0.00	899,991.00	897,891.03
T20240910149143-1	2,090.97	10-09-2024	A2M	SELL	99,999	0.00	899,991.00	897,891.03
T20241112198496-1	19,054.00	12-11-2024	ANZ	SELL	140,000	28.70	4,018,000.00	4,004,746.00
T20241112198495-1	11,163.00	12-11-2024	ANZ	SELL	130,000	28.70	3,731,000.00	3,718,837.00
T20230610249309-1	40.00	10-06-2025	ANZ	BUY	10	28.70	287.00	287.00

Results 6

Display 10 20 50 100
Page 1 of 1

# Corporate Action Event

## Access Via:

[Corporate Action Diary](#) > [Date](#)

[Quotes & Tools](#) > [Corporate Action Event](#)

To view upcoming corporate actions:

1. 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**.
4. A detailed list of **account holders** will be shown, including their **email contact details** for easy communication.

## Transaction Management

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...	13-06-2025	Cash Dividend	Cash Dividend on Stock
12-06-2025	WBCPH	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

Event type	Bonus issues (PARI)	Event description	Bonus issues (PARI)
Underlying 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		Adjustment date	13-06-2025
Allotted security code	EVEDA	Allotted security name	EVE HEALTH GROUP LIMITED, ORDINARY FULLY PAID DEFERRED SETTLEMENT
Allotted shares	1	Per share	1

Account Name	Account Number	Holding	Email	Phone Number
OG CMEZEU MUPUIKB-	20001933	25003.300	test@coreservices.com.au	
OG CMEZEU MUPUIKB-	20001933	25003.300	test@coreservices.com.au	



## Need help?

If you have questions, please contact your adviser.

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