

## ASB RECORD FORMAT & FIELD DEFINITIONS and file naming convention

The table below indicates the size and format of the fields within an ISIN record in the ASB database.

|   | Field Name          |    | Size/Format              | Accepted Values  | Additional information  |
|---|---------------------|----|--------------------------|--|---|
| 1 | ISIN                | M  | 12<br>Alphanumeric       | As per ISO 6166  | The 12-character alpha numeric ISIN as per the ISO 6166 standard will be provided in this field.  |
| 2 | Status              | M  | 1 Alpha                  | "N", "U", "D", "I"   | "N" - New (New ISIN added to the database)<br>"U" - Updated (One/several of the fields in the ISIN record is/are updated)<br>"D" - Deleted (The instrument associated with the ISIN is no longer active)<br>"I" In Default (The instrument associated with the ISIN is no longer active but in default and cannot be deleted) |
| 3 | Instrument Category | O* | 2 Alpha                  | "EQ", "CV", "DT", "EN", "OP", "FT", "SP", "RI", "OT", "SO", "CO" | EQ = Equities<br>CV = Collective Investment Vehicles<br>DT = Debt<br>EN = Entitlements/Rights<br>OP = Listed Exchange Traded Options<br>FT = Futures<br>SP = Structured Products<br>RI = Referential Instruments<br>OT = Others<br>SO = Spot<br>CO = Non listed and complex listed options                                    |
| 4 | Issue Description   | M  | Max. 120<br>Alphanumeric | Free text  | Description of the issue  |
| 5 | CFI Code            | M  | 6 Alpha                  | As per ISO 10962   | The Classification of Financial Instruments code as per the ISO 10962 standard  |
| 6 | FISN                | M  | Max. 35<br>Alphanumeric  | As per ISO 18774   | The Financial Instrument Short Name as per the ISO 18774 standard. Link to: <a href="#">FISN abbreviation list</a>  |
| 7 | Terms/Prospectus    | O  | 1 Alpha                  | "Y" or "N"   | The flag indicating whether the ISIN was assigned based on a preliminary prospectus or not, will be provided in this field. Acceptable alpha values are:  |

|   |                   |     |                         |   | <p>“Y” = Yes (the information provided is preliminary)<br/>“N” = No (the information provided is not preliminary)</p>   |
|---|-------------------|-----|-------------------------|---|---|
|   | <b>Field Name</b> |     | <b>Size/Format</b>      | <b>Accepted Values</b>                  | <b>Additional information</b>   |
| 8 | Nominal Value     | O   | Max. 19<br>Alphanumeric | nnnnnnnnnnnn.dddddd<br>or NPV           | <p>The nominal value of the security will be provided in this field.</p> <p>Nominal Value of Bonds<br/>For bonds, the nominal value is the face value, which is the amount repaid to the bondholder at maturity. Example USA: corporate, municipal, and government bonds typically have face values of \$1,000, \$5,000, and \$10,000, respectively. The nominal value of equities, or par value, is an arbitrary value assigned for balance sheet purposes when the company is issuing share capital – In USA is typically \$1 or less.</p> <p>This contains the amount or the number for the minimum subscription in accordance with the prospectus.</p> <p>NPV = No Par Value<br/>The “Nominal Value” is allowed to accept as a valid input the three-letter shortcut NPV (No Par Value), either in lower- or upper-case letters</p> <p>This field is optional for:<br/>Equities, Debt,<br/>Entitlements and Others<br/>instrument categories.</p> <p>This field is not expected to be populated for:<br/>Collective Investment<br/>Vehicles, Options,<br/>Futures, Referential<br/>Instruments, <b>Non listed<br/>and complex listed options</b><br/>instrument categories.</p> |
|   | <b>Field Name</b> |     | <b>Size/Format</b>      | <b>Accepted Values</b>                  | <b>Additional information</b>   |
| 9 | Issue Currency    | M/O | 3 Alpha                 | As per ISO 4217 and<br>CNH,GBX,MCU,PRC, | The currency of the security, as per the ISO 4217 standard or the   |

|    |                                |   |                 |                                |  |
|----|--------------------------------|---|-----------------|--------------------------------|--|
|    |                                |   |                 | PTX, UYR, XXR, USX, ZAC or XXX | following: CNH – Chinese Offshore Renminbi<br>GBX – Penny UK Sterling<br>MCU – Multi-Currency<br>PRC – Percent<br>PTX – Points<br>UYR – Index Adjusted Currency<br>XXR – Reichsmark USX- US Dollar minor ZAC- South African Rand minor.<br>This field is mandatory for all instrument categories except for Structured Products, Referential Instruments, and Others for which it is optional.<br>XXX = no currency                          |
| 10 | Smallest Denomination          | O | Max. 19 Numeric | nnnnnnnnnnn.ddddd              | The smallest denomination of the security.<br>Example USA: one may purchase bonds in a variety of denominations, ranging from \$50 to \$10,000. The smallest denomination is \$50.   |
| 11 | Conversion Ratio/Contract Size | O | Max. 12 Numeric | nnnnn.ddddd                    | For instruments that have a convertibility feature (for example convertible bonds, Preferred Shares, etc.), the conversion ratio will be provided in this field. For Options and Futures <b>and where relevant for Structured Products</b> this field should be used to contain the Contract size. This field is optional for all instrument categories except for Referential Instruments and <b>Non listed and complex listed options.</b> |

|    | Field Name               |     | Size/Format            | Accepted Values               | Additional information   |
|----|--------------------------|-----|------------------------|-------------------------------|--|
| 12 | Maturity/Expiration Date | M/O | Max. 8<br>Alphanumeric | YYYYMMDD or "P" or "Q" or "R" | <p>Maturity Date or Expiry Date will be provided in this field.</p> <p>When an instrument is perpetual, a value "P" or "Q" is expected in the Maturity/Expiry Date field. The definitions of these values are identical to the CFI Code ISO 10962 standard:<br/> P = Perpetual (The debt instrument has no fixed maturity date and is only due for redemption in the case of the issuer's liquidation.)<br/> Q = Perpetual with call feature (The issue may be called for redemption at some time in the future.)<br/> R = Perpetual with Put feature. (The issue may be puttable for redemption at some time in the future)<br/> This field is mandatory for Debt, Options, Futures and <b>Non listed and complex listed options</b> instrument categories and optional for all other instrument categories except for Referential Instruments where maturity date is not expected.</p> |
| 13 | Exercise price           | C/O | Numeric                |                               | <p>Exercise price will be provided where relevant in this field. This price can be an amount or a percent. A maximum of 16 numeric characters will be accepted in nnnnnnnn.ddddd<br/> This field is Optional for <b>Equities, Debt Entitlements, Options, Structured Products</b> and Others instrument categories. It is not expected to be populated for any other instrument categories.</p>  |
| 14 | Exercise Price Currency  | C   | 3 Alpha                | As per ISO 4217 or "PRC"      | <p>This field will only be populated under the condition that the "Exercise Price" field value</p>   |

|    |                   |     |   |   | is provided, otherwise it should not have a value.<br>PRC = Percentage   |
|----|-------------------|-----|---|---|--|
|    | <b>Field Name</b> |     | <b>Size/Format</b>                            | <b>Accepted Values</b>  | <b>Additional information</b>  |
| 15 | Underlying        | O   | Variable<br>Alphanumeric<br>Max. 100<br>ISINs | Multiple values as per ISO 6166, separated by the tilde character "~" | This is one of the fields that can accept multiple values per ISIN record. What is expected in this field is the ISIN of the underlying(s) instrument(s). This field will be able to accept up to 100 ISIN codes as underlying separated by the tilde character "~". This field is optional for all instrument categories except for Referential Instruments   |
| 16 | Type of Interest  | M/O | 1 Alpha                                       | "F", "Z", "V", "C", "K", "D", "Y" or "M"                              | F = Fixed rate (All interest payments are known at issuance and remain constant for the life of the issue.)<br>Z = Zero rate / Discounted (No periodical interest payments are made; the interest charge (discount) is the difference between maturity value and proceeds at the time of acquisition.)<br>V = Variable (The interest rate is subject to adjustment through the life of the issue includes graduated, i.e. step-up/step-down, floating and indexed interest rates)<br>C = Cash payment<br>K = Payment in kind<br>D = Dividend Payment<br>Y = Non-Payment<br>M = Other (Miscellaneous) |
| 17 | Interest Rate     | C   | Max. 10<br>Numeric                            | nnn.dddddd  | This field is meant to have the interest rate for fixed interest bearing instruments.<br>This field is conditional to the value of the "Type of Interest" field, i.e. it should only be populated if the "Type of Interest" field is set to "F" (for Fixed Rate Instruments) otherwise it can be left empty.<br><br>This field is conditional for Debt, <b>Structured Products</b>   |

|    |                              |   |   |  | and Others instrument categories   |
|----|------------------------------|---|---|--|--|
|    | <b>Field Name</b>            |   | <b>Size/Format</b>                      | <b>Accepted Values</b>   | <b>Additional information</b>  |
| 18 | Interest Payment Date        | C | 4 numeric                               | MMDD   | <p>The first interest payment date in a calendar year will be provided in this field.</p> <p>This field is optional for Debt, Structured Products and Others instrument categories. It is not required for any other instrument categories.</p>  |
| 19 | Interest Frequency           | O | 1 Alpha                                 | "B", "A", "S", "Q", "M", "W", "D", "X"                                 | <p>This field will contain the frequency of interest payments.</p> <p>B = Bi-annual<br/>A = Annual<br/>S = Semi-annual<br/>Q = Quarterly M = Monthly<br/>W = Weekly<br/>D = Daily<br/>X = Other</p>  |
| 20 | First Interest Payment Date  | O | 8 numeric                               | YYYYMMDD   | <p>This field will contain the first interest payment date.</p> <p>This field is optional for Debt, Structured Products, and Others instrument categories. It is not required for any other instrument categories</p>  |
| 21 | Additional Information       | O | Max. 255 Alphanumeric                   | Free text  | <p>This field should contain any additional information (e.g. comments) relating to the respective ISIN record. This field is optional for all instrument categories.</p>  |
| 22 | Market Identifier Code (MIC) | O | Variable Alpha<br>Max. 70 MICs per ISIN | Multiple values as per ISO 10383, separated by the tilde character "~" | <p>This is one of the fields that like the "Underlying" field can accept multiple values per ISIN record. What is expected in this field is the list of all the Market Identifier Codes (MICs) of the markets that the respective ISIN record will be traded at the time of issuance</p> |

|    | Field Name                             |   | Size/Format                                       | Accepted Values  | Additional information   |
|----|--|---|---|--|--|
| 23 | Lead Manager Name                      | O | Max. 255<br>Alphanumeric                          | Free text  | The Lead Manager Name field should contain the full legal name of the Bank/Underwriting firm that took the lead role during the issuance/launch of the respective ISIN record. The field is optional for Equities, Debt, Entitlements, and Others instrument categories. It is not expected to be populated for any other instrument categories. |
| 24 | Lead Manager LEI                       | O | 20<br>Alphanumeric                                | As per ISO 17442   | The Lead Manager LEI should contain the Legal Entity Identifier (LEI) of the Lead Manager in line with the ISO 17442 standard. The field is optional for Equities, Debt, Entitlements, and Others instrument categories. It is not expected to be populated for any other instrument categories.   |
| 25 | Fund Manager Name                      | O | Max. 255<br>Alphanumeric                          | Free text  | The Fund Manager Name field will contain the full legal name of the Fund Manager of the respective ISIN record. The field is optional for Collective Investment Vehicles and Others instrument categories. It is not expected to be populated for any other instrument categories.   |
| 26 | Fund Manager LEI                       | O | 20<br>Alphanumeric                                | As per ISO 17442   | The Lead Manager LEI should contain the Legal Entity Identifier (LEI) of the Lead Manager in line with the ISO 17442 standard. The field is optional for Equities, Debt, Entitlements, and Others instrument categories. It is not expected to be populated for any other instrument categories.   |
| 27 | Central Security Depository (CSD) Name | O | Max. 255<br>Alphanumeric<br><br>Max. 10<br>Values | Multiple values of CSD Name (Free text) and CSD LEI (as per ISO 17442), separated by the tilde character "~" | The field will contain the full legal name of the Central Securities Depository or multiple ones which was/were used during the issuance of the respective ISIN record.  |

|    | Field Name                            |   | Size/Format  | Accepted Values   | Additional information  |
|----|---------------------------------------|---|--|---|---|
|    | Central Security Depository (CSD) LEI | O | 20 Alphanumeric per Single value<br><br>Max. 10 Values | Name and corresponding LEI must be listed in pair. If only Name or LEI is available it will also be accepted. | This field will also contain the Legal Entity Identifier (LEI) of the CSD in line with the ISO 17442 standard.  |
| 28 | Issuer Name (Long)                    | M | Max. 400 Alphanumeric                                  | Free text   | This field will contain the official registered name of the issuer of the ISIN record.  |
| 29 | Issuer LEI                            | O | 20 Alphanumeric  | As per ISO 17442  | This field will contain the LEI of the issuer, in line with the ISO 17442 standard.   |
| 30 | Issuer Name (Short)                   | O | Max. 30 Alphanumeric                                   | Free text   | This field will contain the Issuer's abbreviated name.  |
| 31 | Issuer Supranational                  | O | 1 Alpha  | "Y" or "N"  | "This field will be used to denote if the Issuer of the instrument described in the ISIN record is a Supranational organization (i.e. a governmental or non- governmental entity that is established by international law or treaty).<br>Y" = Yes (Issuer is a Supranational Organization)<br>"N" = No (Issuer is not a Supranational organization) |
| 32 | Issuer Headquarters Address 1         | O | Max. 120 Alphanumeric                                  | Free text   |   |
| 33 | Issuer Headquarters Address 2         | O | Max. 120 Alphanumeric                                  | Free text   |   |
| 34 | Issuer Headquarters State/Province    | O | Max. 120 Alphanumeric                                  | Free text   |   |
| 35 | Issuer Headquarters Post Code         | O | Max. 20 Alphanumeric                                   | Free text   |   |
| 36 | Issuer Headquarters City              | O | Max. 60 Alpha  | Free text   |   |
| 37 | Issuer Headquarters Country           | O | 2 Alpha  | As per ISO 3166   |   |
| 38 | Issuer Legal Registration Address 1   | O | Max. 120 Alphanumeric                                  | Free text   |   |
| 39 | Issuer Legal Registration Address 2   | O | Max. 120 Alphanumeric                                  |   |   |

|    | Field Name                               |   | Size/Format              | Accepted Values | Additional information  |
|----|--|---|--------------------------|-----------------|---|
| 40 | Issuer Legal Registration State/Province | O | Max. 120<br>Alphanumeric | Free text       |   |
| 41 | Issuer Legal Registration Post Code      | O | Max. 20<br>Alphanumeric  | Free text       |   |
| 42 | Issuer Legal Registration City           | O | Max. 60<br>Alpha         | Free text       |   |
| 43 | Issuer Legal Registration Country        | M | 2 Alpha                  | As per ISO 3166 | The 2-character alpha country code as per the ISO 6166 standard will be provided in this field.   |
| 44 | Old ISIN                                 | C | 64<br>Alphanumeric       | As per ISO 6166 | Old ISIN after a change in ISIN code relating to corporate events warranting such a change as defined in the ISIN guidelines maintained by the RA<br>Example:<br>In the ISIN record updated or deleted for the Old ISIN: <b>AZ1234567894</b> the new or existing ISIN <b>AZ2345678901</b> shall be entered here after a corporate action.<br>Note: The field Old ISIN can accept up to 5 ISINs entries separated by a space for in- and outbound. |
| 45 | New ISIN                                 | C | 12<br>Alphanumeric       | As per ISO 6166 | New ISIN after a change in ISIN code relating to corporate events warranting such a change as defined in the ISIN guidelines maintained by the RA<br>Example:<br>In the ISIN record created for the New ISIN <b>AZ2345678901</b> or in the ISIN record updated for an existing ISIN, the Old ISIN: <b>AZ1234567894</b> shall be entered here after a corporate action   |
| 46 | Call/Put                                 | O | 1 Alpha                  | "C" or "P"      | This field is optional for following instrument categories: EN Entitlements/rights and OP Options only.   |
| 47 | Underlying Instrument Name               | O | Max. 255<br>Alphanumeric |                 | This field is optional for EQ Equities, DT Debts, EN Entitlements/Rights, OP Options, FT Futures, Others, <b>Non listed and</b>   |

|    |   |    |  |  | complex listed options only.  |
|----|---|----|--|--|---|
|    | Field Name  |    | Size/Format                            | Accepted Values  | Additional information  |
| 48 | Head office LEI (ISO 17442, only applicable for branch issuances) | O  | 20 Alphanumeric                        |  | This field will contain the LEI of the issuer, in line with the ISO 17442 standard.   |
| 49 | Head office name (only applicable for branch issuances)           | O  | Max. 400 Alphanumeric                  | Name and corresponding LEI must be listed in pair. If only Name or LEI is available, it will also be accepted. | The elements head office name and head office LEI are only applicable for instruments that are issued by an international branch of a legal entity. In these cases, the issuer legal name and the issuer LEI should match the name and LEI of the branch, while the head office name and head office LEI should match the name and LEI of the parent legal entity.      |
| 50 | Digital Asset Status  | O  | 1 Alpha                                | "Y" or empty   | This field will be used to denote if the instrument is issued in a tokenized format.  |
| 51 | Digital Asset Tokenization Level                                  | C  | Max. 7 Alphanumeric                    | "Partial", "Full" or empty   | This field will be used to indicate whether the digital asset is partially or fully tokenised. This field is only applicable when Digital Asset Status is set to "Y".   |
| 52 | Equivalent Digital Token Group                                    | C* | Variable Alphanumeric, 9 characters    | As per ISO 24165   | Identifies the equivalent digital token group for the ISIN. Exactly one value is permitted per ISIN record. This field can only be provided by the DNA (ETS).   |
| 53 | Distributed Ledger Name   | O  | Max. 120 Alphanumeric                  | Multiple values as per ISO 24165, separated by the tilde character "~"   | This field will be used to identify the distributed ledger (DLT) of a digital token. This field can be populated only when the Digital Asset Status is set to "Y".  |
| 54 | Digital Token Identifier (s)                                      | C* | Variable Alphanumeric<br>Max. 100 DTIs | Multiple values as per ISO 24165, exact 9 characters per DTI, separated by the tilde character "~"             | This field can accept multiple values per ISIN record. What is expected in this field is (are) the DTIs of the token(s) related to the digital asset identified by the ISIN. This field will accept up to 100 DTI codes separated by the tilde character "~". Each DTI consists of exactly 9 alphanumeric characters. This field can only be provided by the DNA (ETS). |

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Constraints: M = Mandatory, O = Optional, and C = Conditional

Attention:

O\* means this field is optional but will be ignored for inbound files

C\* = Conditional. These fields can only be updated by DNA (ETS)