

# Model Portfolio FUM Reporting

## Specification v0.2

Feb 2020

### Participants

The following document describes a suite of requirements for a FUM reporting standard for reporting model portfolio information. The standard has been designed in consultation with the following firms: -

AMP	Colonial First State
APIR	Praemium
Financial Express	Copia
BT	Morningstar
IMAP	IRESS

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# Specification

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## 1. Introduction

This document specifies the file standards for managed account administrators to provide details to various parties about the FUM and other details associated with managed accounts that are relevant to them.

## 2. Changes in this version of the specification

Version	Date	Author	Comments
0.1	Feb 2020	Rob Corben	First draft
0.2	17 March 2020	Rob Corben	Second draft with feedback

## 3. Delivering the file to your managed account provider

Your source data provider will inform you about:

1. File format (xlsx, csv, tab separated, JSON etc);
2. File exchange protocol (SFTP, FTPS, FTP, Email etc). Consult your data provider for details on exchange protocols

## 4. File Contents

All fields must be supplied in the order listed.

Name	Format	(M)andatory / (O)ptional	Description
Date	dd/mm/yyyy	M	As at valuation date for report
Source	Alphanumeric, up to 40 characters	M	Administrator, platform or service name
Licensee	Alphanumeric, up to 20 characters	O when Service Name is provided	Name of AFSL holder
Service Name	Alphanumeric, up to 20 characters	O when Licensee is provided	Name of the organisation that the report is designed for
State	Alphanumeric, up to 3 characters	O	State of adviser
Adviser name	Alphanumeric, up to 10 characters	M	Name of adviser or corporate authorised representative (CAR)
Model code	Alphanumeric, up to 10 characters	M	The identifier of the model that the target relates to, as provided by your managed accounts provider.
Model name	Alphanumeric, up to 100 characters	O	A short description for the model.
Account number	Alphanumeric, up to 10 characters	M	Identifying code for an account
Asset code	Alphanumeric, up to 10 characters	O	The stock market ticker symbol or APIR code or equivalent for the asset. For cash holdings use the three letter ISO 4217 alpha currency code.
Exchange	Alphanumeric, up to 10 characters	M	IRESS exchange code. For cash holdings use CASH. Mandatory only when asset code is provided
ISIN	Alphanumeric, 12 characters	O	The International Securities Identification Number (ISIN) for the asset.
FUM / Value (direct)	Numeric with up to 2 decimal places	M	Value of security at the end of the valuation period.
FUM / Value (indirect)	Numeric with up to 2 decimal places	O	Value of security at the end of the valuation period
Status	Alphanumeric, 1 character	O	(T)raded or (S)ettled
ISO currency	Alphanumeric, 3 characters	M	Code to represent the various currencies used throughout the world.

## 5. Example Files

### FUM by Security (baseline data)

Date	Source	Licensee	Service Name	State	Adviser Name	Model code	Model name	Account number	Asset code	Exchange	ISIN	FUM Direct	FUM Indirect	Status	Currency
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA111856099	BHP	ASX	AU000000BHP4	35213	35213	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA111856099	AUD	CASH		23123	23123	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA111856099	GOOG	NAS	US02079K1079	2134	2134	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA111856099	BXB	ASX	AU000000BXB1	33452	33452	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA111856099	CBA	ASX	AU000000CBA4	4323	4323	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA111856099	COL	ASX	AU00000030678	2211	2211	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	RIO	ASX	AU000000RIO1	24567	24567	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	CSL	ASX	AU000000CSL8	34256	34256	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	IAG	ASX	AU000000IAG3	12324	12324	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	MQG	ASX	AU000000MQG1	76899	76899	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	NAB	ASX	AU000000NAB4	65444	65444	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	WOW	ASX		23453	23453	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	MIG	ASX		43332	43332	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	AXL	ASX		5356	5356	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	ABP	ASX		53433	53433	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	AEG	ASX		35666	35666	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	ACS	ASX		63453	63453	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income	SMA112185399	ACQ	ASX		56436	56436	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	BHP	ASX	AU000000BHP4	54673	54673	S	AUD

31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	AUD	CASH		21323	21323	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	GOOG	NAS	US02079K1079	43222	43222	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	BXB	ASX	AU000000BXB1	365757	365757	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	CBA	ASX	AU000000CBA4	58669	58669	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	COL	ASX	AU00000030678	4224	4224	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	RIO	ASX	AU000000RIO1	43647	43647	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	CSL	ASX	AU000000CSL8	54546	54546	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	IAG	ASX	AU000000IAG3	5757	5757	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	MQG	ASX	AU000000MQG1	65655	65655	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	NAB	ASX	AU000000NAB4	7534	7534	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income	SMA112467699	WOW	ASX		21345	21345	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA112467699	MIG	ASX		33536	33536	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA112467699	AXL	ASX		67575	67575	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA112467699	ABP	ASX		4466	4466	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA112467699	AEG	ASX		54446	54446	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA112467699	ACS	ASX		43478	43478	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA112467699	ACQ	ASX		65547	65547	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA113411199	AUD	CASH		43234	43234	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA113411999	GOOG	NAS	US02079K1079	3664	3664	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0102	Vista Australian Balanced	SMA113412399	BXB	ASX	AU000000BXB1	6566	6566	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA113412599	CBA	ASX	AU000000CBA4	43543	43543	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA113415899	COL	ASX	AU00000030678	54435	54435	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA113416299	RIO	ASX	AU000000RIO1	54767	54767	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0102	Vista Australian Balanced	SMA113418499	CSL	ASX	AU000000CSL8	46757	46757	S	AUD

31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0102	Vista Australian Balanced	SMA113431199	IAG	ASX	AU000000IAG3	54436	54436	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA113562999	COL	ASX	AU0000030678	6768	6768	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced	SMA113647999	RIO	ASX	AU000000RIO1	79799	79799	S	AUD
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0103	Retail Conservative	SMA113411199	CSL	ASX	AU000000CSL8	53213	53213	S	AUD

### TAB Separated Format

Date	Source	Licensee	Service Name	State	Adviser Name	Model code	Model name	Account number	Asset code	Exchange
	ISIN	FUM Direct	FUM Indirect	Status	Currency					
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income			
	SMA111856099	BHP ASX	AU000000BHP4	35213	35213	S	AUD			
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income			
	SMA111856099	AUD CASH	23123	23123	S	AUD				
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income			
	SMA111856099	GOOGNAS	US02079K1079	2134	2134	S	AUD			
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income			
	SMA111856099	BXB ASX	AU000000BXB1	33452	33452	S	AUD			
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income			
	SMA111856099	CBA ASX	AU000000CBA4	4323	4323	S	AUD			
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income			
	SMA111856099	COL ASX	AU0000030678	2211	2211	S	AUD			
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income			
	SMA112185399	RIO ASX	AU000000RIO1	24567	24567	S	AUD			
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income			
	SMA112185399	CSL ASX	AU000000CSL8	34256	34256	S	AUD			
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income			
	SMA112185399	IAG ASX	AU000000IAG3	12324	12324	S	AUD			

31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income
	SMA112185399	MQG ASX AU000000MQG1	76899	76899	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income
	SMA112185399	NAB ASX AU000000NAB4	65444	65444	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income
	SMA112185399	WOW ASX	23453	23453	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income
	SMA112185399	MIG ASX	43332	43332	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income
	SMA112185399	AXL ASX	5356	5356	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income
	SMA112185399	ABP ASX	53433	53433	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0101	Max Wealth Australian Income
	SMA112185399	AEG ASX	35666	35666	S AUD		
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	SMA112185399	ACQ ASX	56436	56436	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
	SMA112467699	BHP ASX AU000000BHP4	54673	54673	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
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	SMA112467699	GOOG NAS US02079K1079	43222	43222	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
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31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
	SMA112467699	CBA ASX AU000000CBA4	58669	58669	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
	SMA112467699	COL ASX AU0000030678	4224	4224	S AUD		



31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
	SMA112467699	RIO ASX AU000000RIO1	43647	43647	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
	SMA112467699	CSL ASX AU000000CSL8	54546	54546	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
	SMA112467699	IAG ASX AU000000IAG3	5757	5757	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
	SMA112467699	MQG ASX AU000000MQG1	65655	65655	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
	SMA112467699	NAB ASX AU000000NAB4	7534	7534	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0101	Max Wealth Australian Income
	SMA112467699	WOW ASX	21345	21345	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA112467699	MIG ASX	33536	33536	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA112467699	AXL ASX	67575	67575	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA112467699	ABP ASX	4466	4466	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA112467699	AEG ASX	54446	54446	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA112467699	ACS ASX	43478	43478	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA112467699	ACQ ASX	65547	65547	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA113411199	AUD CASH	43234	43234	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA113411999	GOOGNAS US02079K1079	3664	3664	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0102	Vista Australian Balanced
	SMA113412399	BXB ASX AU000000BXB1	6566	6566	S AUD		

31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA113412599	CBA ASX AU000000CBA4	43543	43543	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA113415899	COL ASX AU0000030678	54435	54435	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA113416299	RIO ASX AU000000RIO1	54767	54767	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0102	Vista Australian Balanced
	SMA113418499	CSL ASX AU000000CSL8	46757	46757	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	Phil Brown	MD0102	Vista Australian Balanced
	SMA113431199	IAG ASX AU000000IAG3	54436	54436	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA113562999	COL ASX AU0000030678	6768	6768	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0102	Vista Australian Balanced
	SMA113647999	RIO ASX AU000000RIO1	79799	79799	S AUD		
31/08/2019	XYZ Capital	ABC Licensee Services	ABC NSW	NSW	John Smith	MD0103	Retail Conservative SMA113411199
	CSL ASX AU000000CSL8	53213	53213	S AUD			

## JSON Format

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      "Model code": "MD0101",
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    "Adviser Name": "Phil Brown",
    "Model code": "MD0101",
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## 6. Issues Register

#	Description	Comments	Decisions
1.	With regards to the field "Source", the same model could be run across many services e.g. Wealth02, Panorama and Praemium. In the situation where Praemium runs a service on behalf of someone else, Praemium would be listed as the source.	RC – The Source should represent the source data provider	
2.	In regard to Status: <ul style="list-style-type: none"> <li>Providers may not be able to provide one type of value or the other</li> <li>Daily trading would give rise to a mixture of both types of value</li> </ul>	The group decided that the rule should be that the entire report contains one type of value only and that the status	

		field/flag be included to advise the user whether the value type is traded or settled.	
3.	In regard to the Inflow report <ul style="list-style-type: none"> <li>Report needs a separate income field. Fees need to be excluded from this field, however as some platforms are not able to accommodate this, this field should be optional.</li> </ul>	It was noted that unbundling of fees may be difficult for some platforms as well as attributing fees to specific models for model of models.	
4.	Adam from Praemium raised the issue of rebalances between 2 models. <ul style="list-style-type: none"> <li>An inflow from one and an outflow from another.</li> </ul>	Managing flows between models needs further consideration.	
5.	Transaction costs and how they are accounted for.	must be considered	
6.	When reporting to the model manager the client account number should not appear.	Praemium advised that they use an internal account identifier to overcome this.	
7.	Permission levels need to be taken into account – for instance, Advisers can only view their own accounts		
8.	Adviser codes across the platforms are inconsistent. Also, when advisers move to another licensee their adviser number changes	Potential solutions: use ASIC adviser number, F code (multiple ones may exist for each adviser), registration number	
9.	Indirect model of model i.e. models included in another model by another manager	Group agreed to defer until the next iteration	
10.	From Copia Following further feedback internally on the FUM reporting standards, we identified that we also use the following fields: <ul style="list-style-type: none"> <li>Product Name (may be called Badge, Plan, Product Type, Product Description; effectively a platform subtype)</li> <li>Transfer In</li> <li>Transfer Out (these are needed for data integrity; particularly evident where we need to identify closing balances that appear without a corresponding inflow, or closing balances that go to zero without outflows)</li> </ul>	Consider SOURCE as Product Name:  Transfer in/out has not come up before. Thoughts?	
11.	From Praemium Page 5, the exchange would only be mandatory if the asset code has been provided.		Now included
12.	Need a narrative to explain when direct FUM = 0 because indirect FUM > 0	Needs to be discussed and entered as a business rule	

## 7. Participant Compatibility Register

The model creators / issuers, platforms and vendors below have reviewed the format and confirmed that their systems can support reporting using this format.

Platform Name	Compatible	Not yet compatible	Confirming
<i>Sample Platform name</i>	<i>X</i>		<i>Roger Smith</i>

AMP			
APIR			
Financial Express			
BT			
IMAP			
Colonial First State			
Praemium			
Copia			
Morningstar			
IRESS			

## 8. Appendix

### IRESS Exchange Code Library

As at March 2019

Location	Description	IRESS Exchange Code
<b>Australia</b>		
Australia	Australia Stock Exchange - Equities	ASX
Australia	Options	AOM
Australia	Warrants & ETFs	AXW
Australia	Futures	AXF
Australia	ASX 24 (Sydney Futures Exchange) - 24 Hour Session	SFE
Australia	CHI-X Equities & Warrants	CXA
Australia	National Stock Exchange of Australia	NSX
Australia	National Stock Exchange of Australia (formerly Bendigo Stock Exchange)	BSX
Australia	Sydney Stock Exchange	SSX
Australia	SIM Venture Securities Exchange	SIMV
New Zealand	New Zealand Stock Exchange	NZT
New Zealand	New Zealand Futures Exchange	NZFX
<b>AFRICA</b>		
South Africa	Johannesburg Stock Exchange (JSE)	JSE
South Africa	JSE Interest Rate Derivatives	YFX
South Africa	JSE Commodity Derivatives	APD
South Africa	JSE Equity Derivatives	EDM
Botswana	Botswana Stock Exchange	BOT
Egypt	Egyptian Exchange	CAI
Ghana	Ghana Stock Exchange	GHA

Ivory Coast	Bourse Regionale des Valeurs Mobilieres (Regional Stock Exchange West Africa)	BRV
Kenya	Nairobi Securities Exchange	NAI
Malawi	Malawi Stock Exchange	MSW
Mozambique	Mozambique Stock Exchange	MAP
Mauritius	Stock Exchange of Mauritius	MAU
Morocco	Casablanca Stock Exchange	CAS
Namibia	Namibian Stock Exchange	NAM
Nigeria	Nigerian Stock Exchange	NSA
Rwanda	Rwanda Stock Exchange	RWX
Tanzania	Dar es Salaam Stock Exchange	DAR
Tunisia	Bourse de Tunis	TUN
Uganda	Uganda Securities Exchange	UGA
Zambia	Lusaka Stock Exchange	LUS
Zimbabwe	Zimbabwe Stock Exchange	ZIM
<b>ASIA</b>		
Abu Dhabi	Abu Dhabi Securities Market	ADS
Bahrain	Bahrain Stock Exchange	BAH
Bangladesh	Dhaka Stock Exchange	DHA
China	Shanghai Stock Exchange	SHG
China	Shenzhen Stock Exchange	SHE
Dubai	Dubai Financial Market	DFM
Dubai	Nasdaq Dubai	DIF
Fiji	South Pacific Stock Exchange	SPS
Hong Kong	Hong Kong Exchange	HKE
Hong Kong	Hong Kong Exchange Futures	HKF
India	Bombay Stock Exchange	BSE
India	National Stock Exchange of India	NSE

Indonesia	Indonesia Stock Exchange	IDX
Israel	Tel Aviv Stock Exchange	TAE
Japan	Tokyo Stock Exchange	TKS
Japan	Osaka Securities Exchange	OSE
Jordan	Amman Stock Exchange	AMM
Kuwait	Kuwait Stock Exchange	KUW
Malaysia	Bursa Malaysia	KLS
Oman	Muscat Securities Market	MUS
Pakistan	Karachi Stock Exchange	KAR
Philippines	Philippines Stock Exchange	PHS
Qatar	Qatar Exchange	DSM
Singapore	Singapore Exchange Ltd	SGX
Singapore	Singapore Exchange Futures	SMX
South Korea	Korea Exchange Stock Market	KRX
South Korea	Korea Exchange KOSDAQ	KOS
Sri Lanka	Colombo Stock Exchange	COL
Taiwan	Taiwan Stock Exchange	TAI
Taiwan	Taipei Exchange	ROCO
Thailand	Stock Exchange of Thailand	BKK
Vietnam	HoChiMinh Stock Exchange	STC
Vietnam	Hanoi Stock Exchange	HSTC
<b>BALTIC</b>		
Baltic Union	Nasdaq Baltic Exchange	TAL
Lithuania	Nasdaq Baltic - Nasdaq Vilnius	LIT
<b>EUROPE</b>		
Austria	Vienna Stock Exchange	WBO
Bulgaria	Bulgarian Stock Exchange	BUL
Croatia	Zagreb Stock Exchange	ZAG

Czech Republic	Prague Stock Exchange	PRA
Germany	Deutsche Börse Xetra Core	ETR
Germany	Deutsche Börse Eurex Core	ERX
Germany	International Securities Exchange	ISX
Europe	Cboe Europe Equities (previously Chi-X BATS)	CXU
Europe	Euronext - Brussels	BRU
Europe	Paris	PAR
Europe	Lisbon	LIS
Europe	Amsterdam	AMS
Europe	Euronext Equities and Index Derivatives	LIF
Europe	Euronext Commodities Derivatives	LIC
Greece	Athens Stock Exchange	ATH
Hungary	Budapest Stock Exchange	BUD
Europe	ICE Futures Europe Commodities	IFE
Europe	ICE Futures Europe Financials (LIFFE)	LFE
Ireland	Irish Stock Exchange	DUB
Ireland	Dublin Funds and Bonds	DFB
Italy	Borsa Italiana	MTA
Kazakhstan	Kazakhstan Stock Exchange	KAZ
United Kingdom	London Stock Exchange	LSE
United Kingdom	LSE International Order Book	LSI
United Kingdom	LME London Metal Exchange	LME
Luxembourg	Luxembourg Stock Exchange	LUX
Spain	Bolas Y Mercados Espanoles (Spanish)	MAD
Poland	Warsaw Stock Exchange	WAR
Romania	Bucharest Stock Exchange	BVB
Russian	Russian Trading System Stock Exchange	RTS



Serbia	Belgrade Stock Exchange	BEL
Slovenia	Ljubljana Stock Exchange	LJU
Switzerland	SIX Swiss Exchange	SWX
Turkey	Borsa Istanbul	IST
Ukraine	PFTS Stock Exchange	PFTS
<b>NORDIC</b>		
Denmark	Nasdaq OMX Nordic - Copenhagen Stock Exchange	CSE
Finland	Nasdaq OMX Nordic - Helsinki Stock Exchange	HEL
Sweden	Nasdaq OMX Nordic - Stockholm Stock Exchange	STO
Iceland	Nasdaq OMX Nordic - Iceland Stock Exchange	ICEX
Norway	Oslo Bors Alternative Bond Market	OSL
Norway	Oslo Axess	OSL
Norway	Norwegian over the counter market	OSL
Norway	Oslo Bors (Norway Stock Exchange)	OSL
<b>NORTH AMERICA</b>		
United States	Chicago Mercantile Exchange	CME
United States	Chicago Mercantile Exchange (Composite)	CMC
United States	Chicago Board of Trade	CBT
United States	New York Mercantile Exchange (NYMEX)	NYM
United States	Commodity Exchange (COMEX)	CMX
United States	Finra OTC Bulletin Board and Other OTC	NQB
		NQO
United States	ICE US Futures and Options	ICE
United States	Nasdaq - Quotes on Tape C	NAS
United States	Nasdaq - Quotes on Tape A & B	NYS
United States	New York Stock Exchange (Top 10 BBO)	ARC
		AME
United States	BATS BZX Exchange	BZX

United States	Nasdaq Openview (Available in Canada only)	NAS
United States	Nasdaq Openview (Available in Canada only)	NYS
United States	US Consolidated Tape A	NYS
United States	US Consolidated Tape B	ARC
United States	US Consolidated Tape C	NAS
United States	NYSE OpenBook L2 (available in Canada only)	NYS
United States	NYSE Arcabook L2 (available in Canada only)	ARC
United States	Options Price Reporting Authority (OPRA)	OPX
Canada	Nasdaq CXC	CHI, CHIV
Canada	Nasdaq CX2	CXX, CXXV
Canada	Nasdaq CXD	CXD, CXDV
Canada	Toronto Stock Exchange	TSX
Canada	Toronto Venture Exchange	TSXV
Canada	Toronto Alpha Exchange (TSX Listed)	ALF
Canada	Toronto Alpha Exchange (TSXV Listed)	ALFV
Canada	Montreal Stock Exchange	MX
Canada	Canada Securities Exchange (CSE Listed)	CNQ
Canada	Canada Securities Exchange (All CSE Traded Securities)	PUR
Canada	Aequitas NEO	NEO
Canada	Omega ATS	OMG, OMGV
Canada	Omega Lynx ATS	LNx, LNxV
Canada	TriAct MatchNow	MN, MNV
Canada	Liquidnet Canada	LQN, LQNV
Canada	Instinet Canada Cross	ICX, ICXV
<b>SOUTH AMERICA</b>		
Argentina	Buenos Aires Stock Exchange	BUE
Brazil	Bovespa (Sao Paulo Stock Exchange)	BSP

Chile	Bolsa Comercio de Santiago	SGO
Colombia	Bolsa de Valores de Colombia	BOG
Mexico	Stock Exchange of Mexico	MEX
Peru	Bolsa de Valores de Lima	LIM
Trinidad & Tobago	Trinidad and Tobago Stock Exchange	TRN
Venezuela	Venezuela Bolsa de Valores de Caracas	CAR
<b>GLOBAL</b>		
Global	Foreign Exchange	FX
Global	Foreign Exchange (from TMX)	FX
<b>INDICES*</b>		BATI
	Deutsche Börse Irish Stock Exchange	ISEI
	Deutsche Börse Regional Exchanges Germany	DEUI
	Dow Jones	DJII
	Euronext	ERNI
	FTSE Bursa Malaysia	FBMI
	FTSE JSE	JSEIV
	FTSE Singapore Straits	SGXI
	FTSE UK	FSEI
	Morningstar	MSI
	MSCI	MSCI

