

	Items Discussed as Key Information Needed – for researching non-compliance	Data Element / Explanation (CCMA Website @ http://www.ccma-acmc.ca/en/best_practices/standard_data.html)
	<u>Common:</u>	
1.	Security Identifier	ISIN or CUSIP or SEDOL
2.	Trade Date	Date the order was executed in full.
3.	Trade Type	Indicator if order is to Buy or to Sell
4.	Quantity	Number of Shares or Par Value of Debt Instrument
5.	Executing Broker – (Carrying Broker for Introducing Brokers)	CUID – clearing ID number
6.	Custodian	CUID of custodian acting as clearing agent on behalf of the client
7.	Settlement value(s) in specified currency	Net settlement amount
	<u>CDS Specific</u>	
8.	CDSX Trade (non-exchange) ID	
	<u>Buy-Side Specific:</u>	
9.	Trade Time: Time stamp at Buy-Side for when Order placed	Either automatically assigned at part of order management system or manually stamped on ticket.
	<u>Sell-Side Specific:</u>	
10.	Date and time when settlement / allocation instructions received by executing broker:	Verifiable time of receipt of instructions received from client.
11.	Date and time trade when settlement allocations / instructions entered at CDS by executing broker (or MSU):	Time as reported by CDS.
12.	Reason for non-completion or delayed completion(s) of entry at CDS – defined and captured to extent possible.	A generic set of reasons agreed to between client and broker/dealer.
	<u>Custodian Specific:</u>	
13.	Date and time allocation / administration instructions received by custodian from buy-side:	Verifiable time of receipt of instructions received from client.
14.	Date and time administration instructions affirmed at CDS by custodian:	Time as reported by CDS.
15.	Reason for non-completion or delayed affirmation(s) of entry at CDS – defined and captured to extent possible.	A generic set of reasons agreed to between client and custodian.