

DV Training

Portfolio Holdings Training Pack

June 2025

Portfolio Holdings

Lonsec

Transactions

1. Find questionnaire
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3. Validations
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5. Failing a Validation
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1. Find Portfolio Holdings Questionnaire

You can find the Portfolio Holdings request/s:

- 1) Emails – you will see a new email from Lonsec with a link to the portfolio holdings questionnaire

From: Lonsec

Due Date: Wednesday, 31 August 2022

Reference Entity	Template Name
Lonsec Research Growth Fund Example	Portfolio Holdings

[View All Requests](#)

We recommend bookmarking <http://app.diligencevault.com> for easy access in future.

- 2) Or you can find the questionnaire in your 'Projects' tab

My Projects 1 new					In-progress 1 new					Closed					Sent					All				
☐	Client Name	Entity Name	Template	Due Date																				
	Search Client	Search Entity	Search by Template																					
☐	Lonsec	Lonsec Reserach Growth Fund Example	Portfolio Holdings 31/07/2022	Aug 31, 2022																				

Once you have opened the Portfolio Holdings request, you can attach **one** of the approved Lonsec Portfolio Holding templates containing the holdings of your product/s.

The screenshot shows a web interface for uploading Portfolio Holdings. On the left, a sidebar contains a dropdown menu labeled 'Portfolio Hol...' with a sub-item 'Portfolio Holdings'. The main content area is titled 'Portfolio Holdings' and includes a message: 'Please attach your product's Portfolio Holdings.' Below this, a light blue box states 'The below validations are completed on the file:' followed by an 'Expand...' link. Further down, an 'Attachments' section features a large dashed rectangular box with the text 'Drag & Drop your file here' and an upward arrow icon. At the bottom of this section is an 'Upload File' button with a document icon.

Clients can submit Holdings by:

1. Uploading one product for one period in a single tab.
2. Uploading one product for multiple periods in a single tab.
3. Uploading one product for multiple periods in multiple tabs.
4. Uploading multiple products for one period in a single tab.
5. Uploading multiple products for multiple periods in a single tab.
6. Uploading multiple products for multiple periods in multiple tabs.

Once you have attached the relevant documents click on the 'Submit to Requestor' button to begin the validations process.

List of validation rules and the error messages received if a validation rule is failed:

#	Validation rules	Error message if validation fails:
1	File uploaded must be one of Lonsec's approved templates Contact researchsupport@lonsec.com.au for a valid template.	Template is not valid. Please use a valid template.
2	Both Product Name and Product Code must match the Lonsec Product Name and Product Code – this cannot be an internal name.	1. Product name supplied does not match 2. Product code supplied does not match
3	Security Name must be populated if Product Name is populated.	Security Name is missing.
4	1. Holdings End Date must be populated if Product Name is populated 2. Holdings End Date column must be a calendar month end date and must be populated if Product Name is populated. 3. Holdings End Date cannot be a future month end date. User cannot upload a calendar month end date that is greater than today.	1. Holdings end date missing 2. Holdings end date must be a calendar month end date in DD/MM/YYYY format 3. Holdings end date cannot be a future date
5	The Absolute Portfolio Weight column must be populated if Product Name is populated. - Note - Absolute Portfolio Weight values can be "0", it can't be NULL.	Absolute Portfolio Weight is missing
6	If ISIN/SEDOL/CUSIP is provided, it must pass checksum validation.	Invalid security ID
7	If APIR is provided, it must be 9 alpha-numeric characters.	Invalid security ID
8	If exchange ticker is provided, it must be between 3-6 alpha-numeric characters.	Invalid security ID

4. Passing Validations

If you have uploaded a file, and the file has passed all validations, you will **not** receive any email confirmation.

Therefore, only when you receive a failed email will you know that something went wrong.

Lonsec will approve all questionnaires around the 15th of each month, so there will not be any outstanding in your inbox for too long.

If you have uploaded a file, and the file has **not** passed all validations, you will receive an email with the errors contained.



CAUTION: This email originated from outside of the organization. Do not click links or open attachments unless you recognise the sender and know the content is safe.

Thank you for submitting your product's Portfolio Holdings via Diligence Vault. The file upload Error_List_2022-05 Holdings (Funds and ETFs).xlsx has **not** been successful due to the attached errors.

Please review and update your file accordingly then re-attach and submit the file via Diligence Vault.

Please contact data@lonsec.com.au if you have questions or require support to resolve the errors.

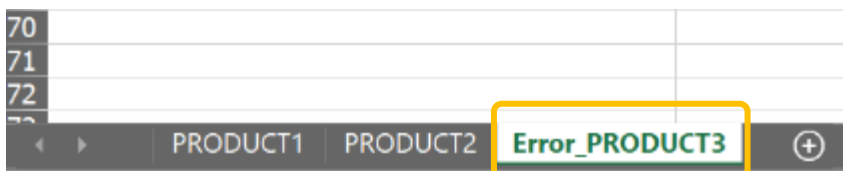
Thank you,

Lonsec Research Operations Team

Using this email you can QA any errors identified by looking at the last column in the email attachment to identify what error is contained in each incorrect row of data. One row of data can contain multiple errors. Once all errors have been fixed, you can re-upload the file to DV.

Error List
Invalid ISIN
Invalid SEDOL
Invalid ISIN
Holdings end date missing

If you have uploaded multiple sheets, you can find which sheet has an error by looking at the sheet name.



6. Re-uploading a Failed File

Once you have fixed all the errors in the file, you can now re-upload this file into the same questionnaire.

Go back to the questionnaire you loaded the file in and click “Restart” on the ‘Summary’ tab. This will change the status of the questionnaire back to “Started” and enable you to re-upload the excel file containing the corrected Portfolio Holdings.

Summary

Questionnaire

All Revisions

Assignments

Documents

Internal Notes

Lonsec Reserach Growth Fund Examp
le

Status: COMPLETED

More Actions

DUE DATE: Aug 31, 2022 (Submitted 13 days early)

AS OF DATE: Jul 31, 2022

LAST UPDATED: Aug 17, 2022

REQUEST TYPE: External Request

INVESTOR: Lonsec Reserach Pty Ltd

QUESTIONNAIRE: [Portfolio Holdings](#)

CREATED BY: Lonsec Reserach Pty Ltd

OF VIEWS: 0

1/1
ANSWERED / TOTAL QUESTIONS

1
DOCUMENTS

0
FOLLOW-UPS

0
INTERNAL NOTES

0/0
COMPLETED / ALL TO-DOS

Conversations between You and Investor

Enter response here

Follow up with Investor

Restart

NOTE: If the Due Date has lapsed, the button will be “Request a Restart” which will send an email to data@lonsec.com.au which will be approved shortly after.

