TRA SETTLEMENT FILE

FOR

HOST / GUEST RECONCILIATION

15 November 2013

VERSION 1.91

Table of Contents

1 REVISION HISTORY

Version	Date	Author	Comment
1.91	15 November 2013	J Curtis Linnell	Clear up how the ITSP event code is used
1.9a	27 October 2009	Ken Sarnecky	Added comment related to ITSP 6.00 and event codes. Added the XML specification and schema. Added Revision History Minor reformat of the document
1.9	11 April 2007	J Curtis Linnell	
1.8a	14 February 2007	Ken Sarnecky	
1.8	16 October 2006	Ken Sarnecky	
1.7	6 December 2004	Ken Sarnecky	
1.5	5 January 2000	Ken Sarnecky	
1.4a	14 October 1999	Ken Sarnecky	
1.4	7 October 1999	Ken Sarnecky	
1.3	23 July 1999	J Curtis Linnell	
1.2	22 July 1999	J Curtis Linnell	

2 INTRODUCTION

2.1 Overview

Working with TRA2020 and CHRIMS, tote companies have created a standard settlement flat file, formatted to exchange liability and settlement information between totalisator systems when acting as Host and Guest for the purpose of common pooling.

These files may be exchanged through the ITS Protocol (ITSP) as the ability to transfer files exists within the protocol. Minimally the ITSP version required will be 5.14, though this document specifically refers to ITSP 5.18, but does address some ITSP 6.00 issues .

2.2 Purpose

This document is intended to describe issues involved and the intended implementation methods that would be required to utilize the data, as well as documenting the file layout.

3 DATA CATEGORIES

3.1 Source Codes/Customer Codes

Each totalisator system has been given a group of source codes for use within ITSP to define a location. The purpose of having multiple codes for one location is as follows:

> A hub may support multiple customers who do not share the communication costs of betting on a host track that they both wager upon. Separate phone lines are installed to the same host. In ITSP, the source and the event code (program) are intended to uniquely identify themselves on the communication line.

The host must be able to distinguish between each guest. Since the host could not if the guests used the same codes for source and event, the guest must use more than a different source code on each port. Thus the source codes will allow for the uniqueness of filenames. These identifiers are available via Web Request from CHRIMS.

Customer codes indicate the financially reportable source of the data. In most cases this will be the licensed association participating in a pool. In some cases this may be a group total where the group is authorized to settle as a unit with the host track. For remote data when the reportable customer is not known, this field will be left empty.

3.2 Event Codes

Within Inter Tote System Protocol (ITSP), each racing program is identified with a unique event code. For ITSP versions 5.x there is a set of standard three character identifiers to be used within the event code names. These identifiers are available Web Request from CHRIMSs.

The ITSP 5.x event code is a three character code, alphanumeric field XXX, as assigned. (Originally this was two character code plus a wildcard, but since December 1, 2013, this has been a three character code as assigned.) More than one pari-mutuel event per day may be held by the same Host Association, but each event must have a unique three character alphanumeric code.

In the case that ITSP 6.x is being used, the 5.x event code is used in this file for the current time. The five character ITSP 6.x event codes have not yet been approved and the links use the 3 character codes with spaces inserted between the track and the instance.

For example, Del Mar's primary card is always DMD regardless when Del Mar's primary card starts. . Charles Town's primary card of the day is TWN. Woodbine has both thoroughbred and harness cards that may happen on the same day, so Woodbine's thoroughbred card is assigned as WOT. and the harness card is assigned as WOH. Please note that the original two character track codes have been eliminated. If a new pari-mutuel event is needed by the host, it needs to be

applied for. This is after all also the event code needed for the ITSP link.

Additionally, situations may arise where a XXX site acts as a 'pricing' host for a program for which they are not the 'live' racing host. This means they will host pools for races run at a location that may also will host its' own pools.

When this occurs, e.g.: Sam Houston, the event code of *HU1* for pricing could be used when a location acts as a hub to host its own separate pools for a Del Mar afternoon program. If San Houston hosts another event that they are pricing host such as a Golden Gate evening program, *HU2* could be used. e.g.: Woodbine acts as the pari-mutuel pricing host for two simultaneous Australian Racing cards assigned as AUS; and AUB.

3.3 Daily Operations

When the last race is official for the pools that the guest is participating in, the guest would build a settlement file according to the specifications. Upon completion, the guest would transfer the file to the host using ITSP.

In situations where there is an intermediary hub, that hub would be responsible for passing the file(s) from its guest(s) to the pricing host. The pricing host will then be able to acquire all guest files.

The communications link must remain intact until the settlement file is transferred. Each tote supplier will separately identify any operational considerations to the requirement.

Once all files have been transferred, the host may utilize the data, producing reports and check data against other information to assure accuracy.

Totes may establish IP/FTP links to transfer these files between hubs by the agreement of the host Racing Association

3.4 New Codes

There will be situations where a new field will need to be defined:

New source identifier for a new hub
New event code three character set for a new track
New event code three character set for a special event
New customer identifier for a new customer

In this case, the requestor's settlement file representative would contact the maintainer of the database, currently via WEB Request from www.CHRIMS.com, for ID assignment. The CHRIMS web site contains the current approved list of IDs and can be used to determine an unused identifier.

3.5 Discrepancies

Any discrepancy found from verifying the data within the files must be reported. The most likely case is that data is missing. The hub that sent the data should be contacted for retransmission. If numbers do not prove, contact the hub sending the data for manual review.

If retransmission of the file is required, hubs should attempt to re-link in order to transmit the file. If retransmission on the same day is not possible, the file should be sent manually the next day, once the link is up and prior to the first race of the next card.

Each tote company in a betting network must designate a compliance officer to deal with problems or complaints regarding the transmission or content of the settlement file.

4 SETTLEMENT FILE DEFINITION

4.1 General

The settlement flat file is an ACSII file containing an unlimited number of records. Each record is delimited by a new line and contains some number of fields delimited by a vertical line character or 'pipe' ('|'). Each field within a record is fixed in position; no context dependent fields are allowed. A flat file is a common import format for databases and spreadsheet programs.

The users of the settlement flat file should ignore any unexpected fields at the end of a record, to allow for future expansion.

Key fields in the settlement file are derived from the ITS protocol link which is used to send the data from a guest system to its host system.

All fields in the settlement file should be independent of any local surcharge dependencies.

4.2 Definitions

Generating Source - Indicates the computing site that generated the original data. TRA2020 is responsible for the definition of 'Source' ID's. This field uses the <source> field from the ITSP <header> record.

Source – Indicates the logical site for the data. TRA2020 is responsible for the definition of Source IDs. The <source> field in the ITSP <header> record.

Event Code - Indicates the host (calculating) track's program id. The event code has one meaning to identify the pari-mutuel host track operating a unique event on that day TRA2020 is responsible for the definition of 'Event Code's'.

Customer Id - Indicates the *financially reportable* source of the data. In most cases this will be the licensed association participating in a pool. In some cases this may be a group total where the group is authorized to settle as a unit with the host track. For *remote* data when the reportable customer is not known, this field will be left empty. TRA2020 is responsible for the definition of 'Customer ID's.

4.3 Specifics

The settlement files contain records for a particular program pertaining to the money that is owed between the host track and all participating sources. The files are broken down by race and pool, such that each race / pool is a separate record for each source.

A settlement file is created by each computer system in a wagering network. Each of these files eventually arrives at the host track.

5 SETTLEMENT FILE FORMAT

5.1 File Name

The file name has four (4) fields and a fixed extension of 'ODB'. An underscore character separates each field in the name.

Field	Name	Type	Description
1	ISA	Alpha	Fixed prefix of "ISA".
2	Gen Source	Alpha	Indicates the computing site that generated the original data within the file.
3	Event Code	Alpha	Identifies the host's betting program.
4	Date	Numeric	The program date in the format of yyyymmdd.

Example: ISA_LVH_AQU_19970213.ODB, the site generating the data was LVH, the Las Vegas Dissemination computer system, the program id AQU is for Aqueduct.

5.2 File Format

An .ODB file is a text file in which each line is terminal by a carriage return (ASCII code 13) and a line feed (ASCII 10).

Each line of data contains at least 15 ASCII text fields of varying length, with each field delimited by a vertical line character, '|' (ASCII 124).

Each field conforms to one of the following formats:

Alpha: Standard ASCII codes from SP (ASCII 32) to DEL (ASCII 127)
Numeric: Any valid ASCII codes from '0' (ASCII 48) to '9' (ASCII 57).
Currency: The value of the field is stated in the format described by ISO 4127. Embedded punctuation is allowed. The decimal holder, if any, should always be present.

5.3 File Format (Continued)

Field	Name	Type	Description
1	Gen Source	Alpha	Source id of the computing system that generated the original data within the file. This field must match the file name and matches the ITSP <header>.<source> field.
2	Source	Alpha	Source for the computer that provided the data. **Note**; this field will *match* the Gen Source field if the 'Source Type' is L; otherwise it will be equal to the Source for the guest site that sent the data. This is normally referred to as a 'double hop situation.'
3	Customer Id	Alpha	Identifies the source of the data which could be as granular as actual site. For cases where the 'Source Type' field is R, the Customer Id is not known and this field will be left empty.
4	Source Type	Alpha	L or R. L indicates that all the data for this customer was generated by this Source. R indicates that this source is remote, and that the data for this Customer Id(s) will be found in a subsequent file.
5	Event Code	Alpha	Identifies the host's betting program with a full 3 characters. This field must match the file name and matches the ITSP <header>.<event code> field; except in the case of ITSP 6.x where we use the ITSP 5.x formatted code.
6	Date	Numeric	The program date in the format of yyyymmdd. This field must match the file name.
7	Race	Numeric	The race number that the pool was ***priced*** in.
8	Pool	Alpha	The pool abbreviation based on the ITSP protocol.
9	Currency	Alpha	Indicates the currency the amounts are in. These are found in the ISO 4217 Currency list, which can be found at http://www.xe.net/currency/iso_4217.htm. (i.e. USD is U.S. Dollars, AUD is

			Australian Dollars, CAD is Canadian Dollars EUR is Euros, etc.)
10	Net Sales	Currency	Total sales, with refunds and cancels removed.
11	Commission	Currency	Total commissions.
12	Liability	Currency	Total winning amount plus breakage. (Signed amount)
13	Settlement	Currency	Amount owed to the host track by the source. (Signed amount)
14	Pos Break	Currency	Positive breakage amount. (Expressed as a positive number)
15	Neg Break	Currency	Negative breakage amount. (Expressed as a positive number)
16	Money Room Settlement	Alpha	Identifies the customer responsible for settling the money room shift for itself or a group of customers. Use same set of codes as Customer ID, although this value can be different then Customer ID in field #3 if the Settlement agent differs

5.4 XML File Format

Basic XML syntax

```
<TRA_SettlementFile>
    <Header … />
    <Detail … />
</TRA_SettlementFile>
```

5.4.1 XML Records

Record Name**:** **Header**

Attribute Name	Datatype	Description
Version	xs:string	Generating Source's data version.
ToteVersion	xs:string	Generating Source's System version. Optional.
Time	xs:dateTime	Time this report is generated. Optional. Ex: 2009-10-26T17:02:44-07:00
Run	xs:unsignedInt	Internal run number. Optional.
RunDate	xs:date	Date in ISO 8601 extended format: YYYY-MM-DD
SiteId	xs:string	ITSP <header>.<source>. three characters.
SiteName	xs:string	Descriptive name of the site.
ToteSystemId	xs:string	'utote', 'amtote', 'sportech, 'lvdc' or some other known entity

Record Name**:** **Detail**

Attribute Name	Datatype	Description
GeneratingSource	xs:string	ITSP <header>.<source> field for Generating Source. Exactly 3 characters.
Source	xs:string	If Type is L this field will match GeneratingSource. If Type is R then this is equal to guest site GeneratingSource field. Exactly 3 characters.
Customer	xs:string	TRA customer ID
Type	xs:string	'L' = Local data, 'R' = Remote data Exactly 1 character.
ITSPEvent	xs:string	ITSP <header>.<event code> field. 3 alphanumberic characters depending on ITSP version. Currently only the three character version is approved.
Date	xs:date	ISO 8601 extended date (YYYY-MM-DD).
Race	xs:unsignedShort	Race that pool was priced in.
Pool	xs:string	ITSP standard Pool types. 2-3 characters.
Currency	xs:string	The type of currency the based on ISO 4217. Exactly 3 characters.
NetSales	xs:decimal	Total sales with refunds removed, or Net Sales.
Commission	xs:decimal	Total commissions.
Liability	xs:decimal	Total winning amount plus breakage. Optional.
Settlement	xs:decimal	Settlement is the amount owed to the host track by the Customer.
PosBreakage	xs:decimal	Positive breakage. Optional.
NegBreakage	xs:decimal	Negative breakage. Optional.
MoneyRoom	xs:string	TRA Customer ID responsible for Money Room Settlement.

5.4.2 TRA_SettlementFile XSD

```
<?xml version="1.0" encoding="utf-8"?>
<xs:schema attributeFormDefault="unqualified"
        elementFormDefault="qualified"
        xmlns:xs="http://www.w3.org/2001/XMLSchema"
        targetNamespace="http://www.tra-online.com/TRA_SettlementFile"
        xmlns="http://www.tra-online.com/TRA_SettlementFile"
        version="1.9a">

  <!-- Support Data Types -->
  <xs:simpleType name="TypeStr">
    <xs:restriction base="xs:string">
      <xs:length value="1"/>
    </xs:restriction>
  </xs:simpleType>

  <xs:simpleType name="EventStr">
    <xs:restriction base="xs:string">
      <xs:minLength value="3"/>
      <xs:maxLength value="5"/>
    </xs:restriction>
  </xs:simpleType>

  <xs:simpleType name="PoolStr">
    <xs:restriction base="xs:string">
      <xs:minLength value="2"/>
      <xs:maxLength value="3"/>
    </xs:restriction>
  </xs:simpleType>

  <xs:simpleType name="GenSrcStr">
    <xs:restriction base="xs:string">
      <xs:length value="3"/>
    </xs:restriction>
  </xs:simpleType>

  <xs:simpleType name="SrcStr">
    <xs:restriction base="xs:string">
      <xs:length value="3"/>
    </xs:restriction>
  </xs:simpleType>

  <xs:simpleType name="CurrencyStr">
    <xs:restriction base="xs:string">
      <xs:length value="3"/>
    </xs:restriction>
  </xs:simpleType>
```

```
  <!-- Header Data Type -->
  <xs:complexType name="HeaderType">
    <xs:attribute name="Version" type="xs:string" use="required"/>
    <xs:attribute name="ToteVersion" type="xs:string" use="optional"/>
    <xs:attribute name="Time" type="xs:dateTime" use="optional"/>
    <xs:attribute name="Run" type="xs:unsignedInt" use="optional"/>
    <xs:attribute name="RunDate" type="xs:date" use="required"/>
    <xs:attribute name="SiteId" type="SrcStr" use="required"/>
    <xs:attribute name="SiteName" type="xs:string" use="required"/>
    <xs:attribute name="ToteSystemId" type="xs:string" use="required"/>
  </xs:complexType>

  <!-- Detail Data Type -->
  <xs:complexType name="DetailType">
    <xs:attribute name="GeneratingSource" type="GenSrcStr" use="required"/>
    <xs:attribute name="Source" type="SrcStr" use="required"/>
    <xs:attribute name="Customer" type="xs:string" use="required"/>
    <xs:attribute name="Type" type="TypeStr" use="required"/>
    <xs:attribute name="ITSPEvent" type="EventStr" use="required"/>
    <xs:attribute name="Date" type="xs:date" use="required"/>
    <xs:attribute name="Race" type="xs:unsignedShort" use="required"/>
    <xs:attribute name="Pool" type="PoolStr" use="required"/>
    <xs:attribute name="Currency" type="CurrencyStr" use="required"/>
    <xs:attribute name="NetSales" type="xs:decimal" use="required"/>
    <xs:attribute name="Commission" type="xs:decimal" use="required"/>
    <xs:attribute name="Liability" type="xs:decimal" use="optional"/>
    <xs:attribute name="Settlement" type="xs:decimal" use="required"/>
    <xs:attribute name="PosBreakage" type="xs:decimal" use="optional"/>
    <xs:attribute name="NegBreakage" type="xs:decimal" use="optional"/>
    <xs:attribute name="MoneyRoom" type="xs:string" use="required"/>
  </xs:complexType>

  <!-- The file -->
  <xs:element name="TRA_SettlementFile">
    <xs:complexType>
      <xs:sequence>
        <xs:element name="Header" type="HeaderType"/>
        <xs:element name="Detail" type="DetailType" maxOccurs="unbounded"/>
      </xs:sequence>
    </xs:complexType>
  </xs:element>

</xs:schema>
```

5.5 File Format Semantics

5.5.1 Exchange Pools

- In the case of ‘exchange’ pools (i.e. Twin Trifecta) there will be a record for each race of the pool. The first half race record will contain all fields. The second half, if there are any winners, will not have any information in the ‘net sales’ or ‘commission’ fields.