TRA

ACCOUNT WAGERING SUMMARY FILE

For

Accounting Wagering & Advanced Deposit Wagering Sites

VERSION 1.6

9 September 2017

Table of Contents

1 REVISION HISTORY

Version	Date	Author	Comment
1.6	5 July 2017 9 Sep 2017	Laura Horah JC Linnell	Add checksum for all handle in file Define current unit/sub-unit separator as a "."
1.5	2 Dec 2016	JC Linnell	Add optional field for Geolocation at a Customer ID Add optional field for Account Holder Designation
1.4a	21 Sep 2015	JC Linnell	Add "ADW Source" ID and reiterate 5 digits only for US zip codes
1.4	10 Sep 2015	J Curtis Linnell	Second Optional file name for location and clean up for 3 Character Event Codes Add optional field for Pool Close time.
1.3	21 Jan 2011	Ken Sarnecky	Optional file name for all events. Clarify which Event Code should be used.
1.2c	30 Nov 2010	Ken Sarnecky	Clarified Fields 3 & 13
1.2b	28 Dec 2009	Ken Sarnecky	Fix type in schema
1.2a	2 Dec 2009	Ken Sarnecky	Clarified the meaning of race in the data and the business rules.
1.2	13 Nov 2009	Ken Sarnecky	Made allowances for three character ISO sub-country codes (state/province). Added an optional selling race field. Changed all references to ADW to AW to be more inclusive.
1.1	20 Oct 2009	Ken Sarnecky	Corrected Business rules related to multi race pools. Added comments related to ITSP. Added the XML specification and schema. Added Revision History.
1.0	1 Oct 2008	J Curtis Linnell	

2 INTRODUCTION

2.1 Overview

Account Wagering (AW) is an ever increasing portion of the pari-mutuel handle. Host racetracks need to have AW handle reported by Guests with geographical reference of the residence of the account holder. Since TRA2020 has designated the basic geographical unit of fixed site handle to be by Association by State/Province (within Canada and the US) and by Country (outside of Canada and the US), the committee has adopted the same geographical designation for AW handle.

Certain specific racetracks and jurisdictions require reporting of source market or home market for all events simulcast in each jurisdiction. The AW Summary file provides reporting to the zip/postal code level in Canada and the US. For example, a host track with a source market area within a state/province can have the Guest report all AW activity by zip code/postal code per state/province and country. In addition, AW activity for simulcast activity can be reported to the Source/Home/Shared Market holder the following day. This can be by zip/postal code for in-market and as a total area for in-state out-of-market.

California may require further granularity for in-state accounts as per AW requirements. In addition, the breed is used to track allocation of funds as per state/province requirements. Having a conduit code can support the differentiation of account betting at a fixed site as opposed to remote telephone and internet betting.

This file must be produced by all entities that have *control* of the Account Wagering Accounts. In some case this may be the entity that controls a classic model where the Tote system is managing the accounts, in other cases this will be the Advanced Deposit Wagering (ADW) sites where the ADW company controls the account and uses a hub or other system to validate wagers; and in some cases the entity reporting may actually have credit accounts.

2.2 Purpose

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

3 DATA

3.1 Data Flow

The summary data flows from the Account Wagering company's computers to the Central Data Processing Agent "CDPA" designated by the Host track/Regulatory Agencies.

AW Company (client) accesses the Host's FTP server; files may be pushed by the client, or fetched from AW Company's facilities by the CDPA, depending on agreement between parties.

The Account Wagering Summary file is expected within 12 hours of the end of session. The file may be transmitted in either the flat file format or in the XML format.

3.2 Business Rules to Follow

- Multi-race pools are to be reported in the race priced in, not the race in which they were sold.

- For wagers made in the United States, zip codes must be the 5 digit valid zip codes according to the USPS and must indicate residential zip code of account holder on the race day of the wager; Canadian wagers will show six letter & digit Postal Codes according to Canada Post.

- Wagers outside of the United States and Canada or 'International Wagers' shall be denoted within the TAW file under the respective Country Code of the account holder residence; there is no state or postal code required for International wagers at this time.

- As long as a group of wagers are in the same postal code with Canada & the US, the data can be summarized to this level. Outside of Canada & the US the data can be summarized to the country level. All wager information to be at the single race/pool level and no other aggregation of pool values is permitted.

- Country Codes must follow the ISO 3166-1-alpha-2 code standard. Information can be referenced at http://www.iso.org.

3.3 Discrepancies

Any discrepancy found from verifying the data within the files must be reported. The most likely case is that data is missing. The AW client that sent the data should be contacted for retransmission.

Each AW company in a betting network must designate a compliance officer to deal with problems or complaints regarding the transmission or content of the Account Wagering Summary file.

4 AW SUMMARY FILE DEFINITION

4.1 General

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

Key fields in the TRA Account Wagering Summary file are derived from the ITS protocol link which is used to send the data from a guest systems to the track host system.

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

4.2 Definitions

Gen Source (Tote/ADW) - Indicates the computing site that generated the original data. TRA2020 is responsible for the definition of 'Source' IDs. For this document, this field uses the <source> field from the ITSP <header> record.

If this file is generated/produced directly from the ADW, TRPB will assign and keep the list of specific "ADW Source" IDs.

Event Code - Indicates the host (calculating) track's program id. The event code has two meanings; to identify the host track and to indicate the unique performance on that day the data refers to. TRA2020 is responsible for the definition of 'Event Codes'. For this document the Event Code is the 3 character event code as assigned. In all cases, in the foreseeable future, the ITSP 3 format of the Event Code should be used even in the case of ITSP 6.x. Reference to the Event Code is at www.chrims.com/eventcode/eventcodes.aspx

Customer ID - Indicates the *financially reportable* source of the data and matching to the TRA Settlement File Customer ID. 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. TRA2020 is responsible for the assignment of 'Customer IDs'. Reference to the Customer Code is at http://www.chrims.com/eventcode/custcode.aspx

4.3 Specifics

The TRA Account Wagering Summary file contains records for a particular program pertaining to the wagers that have been made on a specific host track.

A TAW file is created by each computer system controlling Advance Deposit Wagering clients. In some cases the system creating the summary file is the same system that is a Remote system in the ITSP link. In other cases the system creating the summary file controls the actual Account Wagering client but utilizes a hub or other service center for wager validation and connectivity to the Host track via ITSP. Each of these files eventually arrives at the host track.

5 SUMMARY 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	TAW	Alpha	Fixed prefix of "TAW".
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: TAW_LVH_AQU_20150316.ODB, the site generating the data was LVH, the Las Vegas Dissemination computer system, the program id AQU is for Aqueduct.

The file name will be the same for both the .ODB and .XML formatted files.

5.1.1 Optional File Name (all events)

Since the record data contains the Event Code for every record in the file the reporting entity may elect to submit a single file that contains data for multiple events. In this case the file name has three (3) fields and a fixed extension of 'ODB'. An underscore character separates each field in the name.

Field	Name	Type	Description
1	TAW	Alpha	Fixed prefix of "TAW".
2	Gen Source	Alpha	Indicates the computing site that generated the original data within the file.
3	Date	Numeric	The program date in the format of yyyymmdd.

Example: TAW_LVH_20150316.ODB, the site generating the data was LVH, the Las Vegas Dissemination computer system, the file includes data for all events.

The file name will be the same for both the .ODB and .XML formatted files.

5.1.2 Second Optional File Name (all events by geography)

Since the record data contains the Event Code for every record in the file the reporting entity may elect to submit a single file that contains data for multiple events but issue separate files for a given state/province of country and uniquely name each file. In this case 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	TAW	Alpha	Fixed prefix of "TAW".
2	Gen Source	Alpha	Indicates the computing site that generated the original data within the file.
3	Date	Numeric	The program date in the format of yyyymmdd.
4	State/Prov/ Country	Alpha	The geographical location that the data in the file pertains to, in two characters

Example: TAW_TWS_20150316_PA.ODB, the site generating the data was TWS, the Twin Spires ADW computer system, the file includes data for all events but restricted to activity from account holders with a Pennsylvania residential address.

The file name will be the same for both the .ODB and .XML formatted files.

5.2 ODB Flat File Record 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 ODB Flat File Record Format (Continued)

Field	Name	Type	Description
1	Customer	Alpha	This code is assigned by the TRA for the business unit responsible for the wager. This will match the Customer ID in the related TRA Settlement file.
2	Event Code	Alpha	Identifies the host's betting program. This field must match the file name. The is the TRA Event Code.
3	Race	Numeric	The race number that the wagers were *priced* in.
4	Breed	Alpha	The Breed for this specific race. See Appendix 6.1
5	Pool	Alpha	The pool abbreviation based on the ITSP protocol.
6	Country	Alpha	ISO 3166-1-alpha-2 code
7	State	Alpha	USPS two letter State/Territory abbreviations or Canada Post two letter Provinces/Territories. The lists can be found at www.usps.com or www.canadapost.ca. (also see 5.4)
8	Postal Code	Alpha	USPS (5 digit) or Canada Post postal code
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 and CAD is Canadian Dollars.)
10	Net Sales	Currency	Total sales, with refunds and cancels removed.
11	Winnings	Currency	Total winnings – not including refunds.
12	Conduit	Numeric	The physical path that the wagers were processed via. See Appendix 6.2
13	sellRace	Numeric	Optional field. The race number that the wagers are *placed* in.
14	Pool close time	Time	Optional field. The time that the pool closed for betting by this specific source in UTC Date-Time format.

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| 15 | Geolocation Customer | Alpha | Optional field. This code is the TRA Customer ID denoting a location identified by a Customer ID and where account use is being geolocated |
| 16 | Account Holder Level | Numeric | Optional field. This code is used when a distinction is required for an Account Holder, such as level of rewards |

5.4 File Format Semantics

- In some cases it will not be possible to assign a two character State code (sub-country). This is particularity true in South American. In these cases the AW Company it is allowed to use a three character code with the prior approval of the host track.

- The Postal Code is only required to be filled in if the country is the United States or Canada. If available for other countries please use it.

- Due to differences in how the States and Provinces may allocate funding the optional sellRace field was added. While this field is optional if possible always fill it in.

  Checksum at the conclusion of records in the file of Pool, Country, State, Currency & Net Sales.

5.5 XML File Format

Basic XML syntax

```
<TRA_awSummaryFile>
        <Wager_Data ... />
</TRA_awSummaryFile>
```

5.5.1 XML Records

Record Name: **Wager_Data**

Name	Datatype	Description
Customer	xs:string	TRA customer ID
EventCode	xs:string	The TRA event ID.
Race	xs:byte	Race that wagers were priced in.
Breed	xs:string	See Appendix. Exactly 2 characters.
Pool	xs:string	ITSP standard Pool type. 2-3 characters.
Country	xs:string	The country of record for the AW account clients
State	xs:string	The State, Province or Territory of record for the AW accounts clients.
Postal	xs:string	The Postal code if the State is the United States or Canada. Optional (but required in US and Canada).
Currency	xs:string	The type of currency, based on ISO 4217. Exactly 3 characters.
NetSales	xs:decimal	Total sales with refunds removed, or Net Sales.
Winnings	xs:decimal	Total winning amount with refunds removed.
Conduit	xs:byte	See Appendix.
sellRace	xs:byte	Optional field. Race that wagers were sold in.
PoolClose	xs:ISO date/time	Optional field. Time that the pool closed for betting.
GeoCustomer	Xs:string	Optional field when Conduit code is "6" TRA customer ID

Name	Datatype	Description
AccountHolderLevel	xs:byte	Optional field to designate level of account holders

5.6 TRA_awSummaryFile XSD

```xml
<?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_awSummaryFile"
        xmlns="http://www.tra-online.com/TRA_awSummaryFile"
        version="1.2">

 <!-- Support Data Types -->
 <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="BreedStr">
  <xs:restriction base="xs:string">
    <xs:length value="2"/>
  </xs:restriction>
 </xs:simpleType>

  <xs:simpleType name="CountryStr">
  <xs:restriction base="xs:string">
    <xs:length value="2"/>
  </xs:restriction>
 </xs:simpleType>

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

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

 <!-- Main Data Type -->
 <xs:complexType name="WagerDataType">
  <xs:attribute name="Customer" type="xs:string" use="required"/>
```

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```xml
      <xs:attribute name="EventCode" type="EventStr" use="required"/>
      <xs:attribute name="Race" type="xs:byte" use="required"/>
      <xs:attribute name="Breed" type="BreedStr" use="required"/>
      <xs:attribute name="Pool" type="PoolStr" use="required"/>
      <xs:attribute name="Country" type="CountryStr" use="required"/>
      <xs:attribute name="State" type="StateStr" use="optional"/>
      <xs:attribute name="Postal" type="xs:string" use="optional"/>
      <xs:attribute name="Currency" type="CurrencyStr" use="required"/>
      <xs:attribute name="NetSales" type="xs:decimal" use="required"/>
      <xs:attribute name="Winnings" type="xs:decimal" use="required"/>
      <xs:attribute name="Conduit" type="xs:byte" use="required"/>
      <xs:attribute name="sellRace" type="xs:byte" use="optional"/>
   </xs:complexType>

   <!-- The file -->
   <xs:element name="TRA_awSummaryFile">
    <xs:complexType>
      <xs:sequence>
        <xs:element name="Wager_Data" type="WagerDataType"
maxOccurs="unbounded"/>
      </xs:sequence>
    </xs:complexType>
   </xs:element>
</xs:schema>
```

6 APPENDIX

6.1 Breed Code

Breed	**Breed Code**
Appaloosa	AP
Arabian	AR
Dog	DG
Harness (Trotters/Pacers)	HA
Mule	MU
Paint	PA
Quarter Horse	QU
Thoroughbred	TH
Mixed Breed	MX
Unknown	UN
Special	SP
Jockey	JO
Other	OT
Sports	SF

6.2 Source Conduit

Source Conduit	**Conduit Code**
Remote Bet (Phone/Text)	1
Remote Bet (Internet)	2
OTB/Parlor/Theatre Bet	3
On-Track Bet	4
Unknown	5
Remote Bet Geolocated	6