

October 2019 - Documentation Release Notes (Part II)

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Document Release 5 (Part II)

These release notes detail the scope of the fifth tranche of technical documentation, released in October 2019 (Document Release 5 Part II).

It includes additional functional specifications, messaging requirements and updates to some areas of functionality from the prior release (including updated connectivity documentation). Full details are provided below. Updates to previously published functionality or corrections have been identified in **orange** on relevant pages.

Please note that the content of this release reflects a revised [Forward Release Plan](#) split in two parts. This includes functionality to be made available in CDE 6 for February 2020 and CDE7 for May 2020.

[September Release - Part I \(Release Notes\)](#)

[October Release - Part II](#) comprises of:

New documentation:

- Issuer Agent's Transfer (Warrants)
- Corporate Actions
 - Reconstructions Lifecycle
 - Rights Issue Lifecycle

Due to Focus Group and Technical Committee feedback, Give-ups/Take-ups and Early Settlements have been descoped from Day 1. For further information, refer to the below [Release Note Updates](#).

A full archive of content prior to Documentation Release 5 (Part II) is available [here](#) for reference.

Functional Specifications

Document	Description	Release Notes
Release Notes	October 2019 - CDE Code Drop Notes (NEW)	<ol style="list-style-type: none"> 1. Included new information on CDE Code Drop 4. 2. Updated page format moving CDE Environment notes to a separate Release Notes section above Available Functionality.
	Forward Release Plan (Update)	<p>Update: Forward Release Plan</p> <ol style="list-style-type: none"> 1. Updated mFunds Foundation Set-up/On-boarding technical documentation release to N/A. 2. Removed Give-ups/Take-ups and Early Settlement line items. <p>Change to Day 1 Scope:</p> <p>Following Focus Group and Technical Committee feedback, Give-ups /Take-ups has now been de-scoped from Technical Documentation Release 5 (Part II).</p> <p>The proposed solution for Give-ups/Take-ups was tabled in the Focus Group held in May 2017. New ISO 20022 messages required to support the solution were tabled at the ISO 20022 Technical Committee meeting held in August 2019.</p> <p>Feedback received from these sessions included the following considerations:</p> <ul style="list-style-type: none"> • Functionality considerations: unlike the ETO functionality, equities commission or brokerage cannot be passed via the solution as the underlying client is not known by the system in the equities market • Timing considerations: given that a Taker would need more time to agree to the transfer (as opposed to a Giver), there would be timing restraints for a Taker to achieve this on trade date • Client considerations: in order to notify underlying clients of a change to the clearing party, potential new client agreements and disclosures would be required <p>In addition, the sentiment shared by members indicated that there was a low likelihood of implementing the solution in their organisations. It is on this basis ASX has decided to remove this requirement from the Day 1 scope. In the event future use cases are identified or demand increases post Day 1 implementation of CHES Replacement, ASX is committed to revisiting the solution at this time.</p> <p>Early Settlement has been removed from Day 1 due to the significant effort across the industry to operationalise this feature. Today, a client can request its broker or its clearing and settlement agent to provide for the early settlement of either a buy or sell contract. The Early Settlement feature will now be considered for implementation post Day 1.</p>

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