

## Consultation on the Scope and Implementation of CHES replacement Release 2 (Settlement and Subregister)

Reference	Question	Response (please enter your input in column D)	Guidance notes to complete column D
<b>Respondent Details</b>	Would you like your response to be confidential?	No	Select the applicable response from the drop down
	Name	David Hinkley	First Name & Last name
	Email		Email
	Organisation	SecurEase International Limited	Organisation Name
<b>Organisation Cohort</b>	Please select your organisation type (select all that apply). - See choices in column E		election option: AMO
			election option: Clearing and Settlement Participant
			election option: Settlement-only Participant
			election option: Payment Provider
			election option: Share Registry
		election option: Software Provider	
	Software Provider	election option: Industry Association	
		election option: Other (Please specify below)	
	If you answered - Other above please specify		Please complete if you answered 'Other' above (free text)
<b>Q1</b>	Please provide any feedback on the proposed design, scope and schedule for Release 2.	SecurEase International Limited is comfortable with this, subject to review of final specifications and integration documents.	Free text
<b>Q2</b>	Please provide any feedback on the proposed testing and industry readiness approach for Release 2.	SecurEase International Limited is comfortable with this. Although conscious of the effort and therefore cost involved in test phases, and so having confidence on a stable complete platform for this as well as other dependant participants is key.	Free text
<b>Q3</b>	Please provide any feedback on the proposed approach to interoperability for CHES replacement.	SecurEase International Limited is comfortable with this.	Free text
<b>Q4</b>	Please provide any feedback on the proposed timing and approach regarding transitioning to a T+1 settlement cycle (noting that any such transition will not form part of the CHES replacement project).	SecurEase International Limited has no real comment on this change. This is primarily a participant requirement/concern, as little build is required by SecurEase International Limited, however we are aware of the participant resourcing requirements that do lead to a post Release 2 timeframe if between Release 1 and Release 2 can not be achieved.	Free text
<b>Q5</b>	Does your organisation support the scope of the clearing upgrades for CHES replacement Release 2?	Conditionally supportive (please explain below)	Select the applicable response from the drop down
	Please provide context to your response above	SecurEase International Limited is supportive of what our participants desire.	Free text
<b>Q6.1</b>	Would your organisation use an optional segregated account structure if offered by the CHES replacement system?	Possibly - as part of Release 2	Select the applicable response from the drop down
<b>Q6.2</b>	If you answered yes or possibly to Q6.1, which account structure would suit your organisation best?	Segregated house and omnibus client	Select the applicable response from the drop down
	If you answered - Other above please specify		Please complete if you answered 'Other' for question 6.2 in cell D25 (free text in cell D26)
	Please provide context to your response above	SecurEase International Limited is supportive of what best suits our participants.	Free text for question 6.2
<b>Q6.3</b>	Please provide any further information about the proposed optional segregation models.		Free text
<b>Q7</b>	Does your organisation support the proposed scope of settlement for CHES replacement Release 2?	Supportive	Select the applicable response from the drop down
	Please provide context to your response above		Free text
<b>Q8</b>	Does your organisation support simplifying the processing of 'ex transactions' (i.e. Cum Entitlement Balances)?	Supportive	Select the applicable response from the drop down
	Please provide context to your response above	SecurEase International Limited is supportive of a simplified process to improve business operational efficiencies and remove exceptions.	Free text
<b>Q9</b>	Does your organisation support the proposed scope of subregister and issuer sponsored processes for Release 2?	Supportive	Select the applicable response from the drop down
	Please provide context to your response above		Free text
<b>Q10</b>	Does your organisation support the proposal to enhance registration details and allow for the sharing of additional investor information?	Supportive	Select the applicable response from the drop down
	Please provide context to your response above	SecurEase International Limited is supportive of this to the extent that our clients gain benefit and efficiencies.	Free text

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Q11	What additional investor information would your organisation find useful to be transmitted via CHES? - See choices on column E (and select all that apply, via separate rows in column D)		<b>election option:</b> Tax File Numbers (TFNs), Australian Business Numbers (ABNs) and Australian Company Numbers (ACNs)
			<b>election option:</b> Foreign Account Tax Compliance Act (FATCA) / Common Reporting Standard (CRS) details such as tax residency and foreign tax identification number(s)
			<b>election option:</b> Bank account details
			<b>election option:</b> Mobile numbers
			<b>election option:</b> Other (Please specify)
	If you answered - Other above please specify		Please complete if you answered 'Other' for question 11 (free text for cell D42)
	Please provide context to your response above	SecuritEase International Limited has no direct preference to this, but would be supportive of what our clients would like.	Free text
Q12.1	Does your organisation support the proposal for corporate action elections without payment (e.g. DRP/BSP) within the scope of Release 2 of CHES Replacement?	Not applicable to my organisation	select the applicable response from the drop down
	Please provide context to your response above	SecuritEase International Limited has no direct preference to this, but would be supportive of what our clients would like.	Free text
Q12.2	Does your organisation support the proposal for corporate action elections with payment (e.g. Rights, Share Purchase Plans) within the scope of Release 2 of CHES Replacement?	Not applicable to my organisation	select the applicable response from the drop down
	Please provide context to your response above	SecuritEase International Limited has no direct preference to this, but would be supportive of what our clients would like.	Free text
Q13	Does your organisation support the proposal for the ability to transmit additional corporate action distribution information within the scope of Release 2 of CHES Replacement?	Supportive	select the applicable response from the drop down
	Please provide context to your response above	Whilst SecuritEase International Limited has no direct preference to this, we see benefits if this results in better information distributed to our clients resulting in reduced errors and therefore support requirements.	Free text
Q14	Does your organisation support the proposed connectivity and interface options in CHES replacement Release 2?	Supportive	select the applicable response from the drop down
	Please provide context to your response above		Free text
Q15.1	Would your organisation be interested in using an optional data API if offered by the CHES replacement system as part of Release 2?	Possibly (please explain below)	select the applicable response from the drop down
	Please provide context to your response above		Free text
Q15.2	If you responded yes or possibly to Q15.1, what would your organisation use the data API for?	SecuritEase International Limited sees potential benefit to aid reconciliation etc subject to confirmed operational changes.	<b>election option:</b> Holding Balances
			<b>election option:</b> Other (Please specify below)
	If you answered - Other above please specify		Please complete if you answered 'Other' for question 15.2
	Please provide context to your response above		Free text
Q16	Given the other strong security controls, do you support ASX's proposal not to use ISO 20022 message signing of both input and output?	Supportive	select the applicable response from the drop down
	Please provide context to your response above		
Q17	Which (if any) months should be avoided for CHES replacement Release 2 go-live? - See choices on column E		<b>election option:</b> January
			<b>election option:</b> February
			<b>election option:</b> March
			<b>election option:</b> April
			<b>election option:</b> May
			<b>election option:</b> June
			<b>election option:</b> July
			<b>election option:</b> August
			<b>election option:</b> September
			<b>election option:</b> October
			<b>election option:</b> November
			<b>election option:</b> December
	Please provide supporting detail for each month that should be avoided	Whilst SecuritEase International Limited has no direct preference, and would support guidance from our clients.	Free text

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Reference	Question	Response (please enter your input in column D)	Guidance notes to complete column D
Q18	Do you have any further feedback on ASX's proposed implementation approach for Release 2?		Free text
Q19.1	If a decision is made to move to T+1, is your organisation supportive of ASX's proposal that a T+1 go-live date be at least 12 months after the Release 2 go-live date, and at a minimum 18 months after a decision to transition to T+1?	Conditionally supportive (please explain below)	select the applicable response from the drop down
	Please provide reasoning for your response above	Whilst SecuritEase International Limited has no direct preference, and would support guidance from our clients.	Free text
Q19.2	Are there any other factors that ASX should consider regarding approach and timeline for a transition to T+1 settlement? If so, please provide further detail.		Free text
Q20.1	With the information currently provided, is your organisation supportive of the time for Software Providers to complete their build and test in preparation for accreditation? Please explain, including relevant detail if not supportive	As a Software Provider, SecuritEase International Limited is largely supportive of the proposed time frame, providing that the ASX solution is locked in and of a production standard when we need to connect to start testing as we build our end out.	Free text
Q20.2	To assist Software Providers with their industry testing, do you have any further feedback on testing scope, duration or approach?		Free text
Q21.1	With the information currently provided, is your organisation supportive of the time for CHES Users to complete their testing in preparation for Operational Readiness? Please explain, including relevant detail if not supportive		Free text
Q21.2	To assist CHES Users with their industry testing, do you have any further feedback on testing scope, duration or approach?		Free text
Q22	To assist CHES Users with their go-live readiness, do you have any further feedback on testing scope, duration or approach?		Free text