



# CHES Replacement Project

**Software Provider Readiness  
Working Group**

9 February 2022

# Important Information – Competition Law Policy

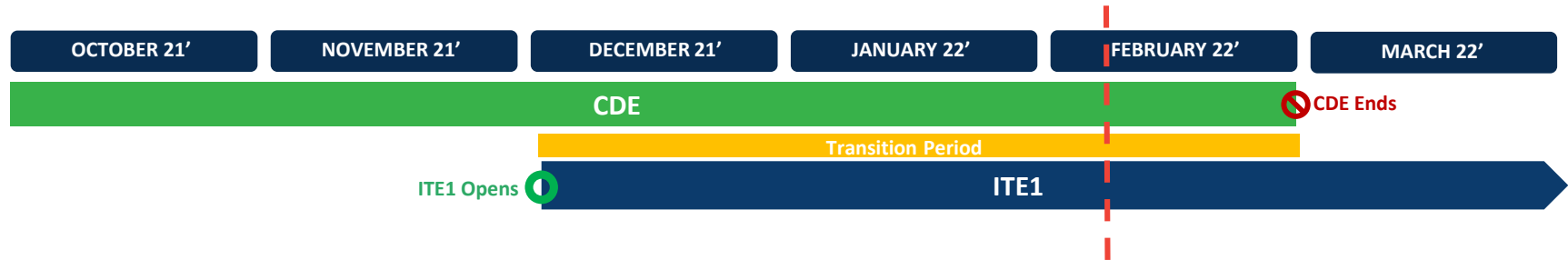
Working group members are reminded to have regard to their obligations under competition law. In particular, please note changes to the Competition and Consumer Act to prohibit a corporation from engaging with one or more persons in a concerted practice that has the purpose, effect or likely effect of substantially lessening competition.

# Agenda

- 
- Update on ITE1 release code drop (v1.2)
- 
- Update on Accreditation
- 
- Q&A
- 
- Forward Schedule
-

# Update on ITE1 release code drop (v1.2)

# ITE1 Transition Timeline



- ITE1 (v1.2) was made available from 28 Jan'22
- This release included:
  - Deployment of corporate action events
  - New ITE1 self-service tools:
    - Self-Service Bid Offer Transfer
    - Self-Service Issuer Agent Transfer
- CDE end of life end Feb'22, official notification to software providers from 14 Feb'22

# Update on ITE1 release code drop (v1.2)

# Update on ITE1 release code drop (v1.2)

[ITE1 \(v1.2\) technical release notes](#) & supporting [31 Jan What's New publication](#)

- Deployment of Corporate Actions in ITE1 (from 1 Feb'22 to end April'22)
- New self-service functionality for Bid Offer and Issuer Agent Transfer for Clearing and Settlement Participant testing
  - Self-Service Bid Offer Transfer
  - Self-Service Issuer Agent Transfer.
- New ISO2022 message collection
- Updated ITE1 known issues, observed behaviours and limitations – including those resolved from ITE1 (v1.1)
  - 4/2 - Unable to generate end of day Holding Balance (HBAL) reports
  - 4/2 - Unable to process change of controlling participant requests
  - 8/2 – Class mergers not operating on zero holdings with a takeover sub-position
  - Known issues listed [here](#)

# Update on ITE1 release code drop (v1.2) – by connectivity channel

## Ledger API

- Ledger clients observing period disconnects where no activity, ASX have incrementally increased this to from 5 minutes to 4 hours (as at 8 Feb) – ongoing analysis to extend this further, considering introducing keep alive commands such as GetTimeRequest.
- Reminder all clients to construct workflow ID as per ITE1 guidelines, available [here](#)
- Change to Ledger API error codes will be the subject of the March SPR WG

## AMQP

- Reminder all clients to ensure AMQP connection string (incl. failover) and properties settings per ITE1 guidelines, [here](#)

## CHESS UI

- CHESS UI traffic needs to be internally routed, ite1-auth.asx.com.au cannot be directly accessed only ite1-ui-asx.com.au

### 4.4.1 CHESS UI Networking for ITE1

Service Name Destination	Address	Port	Host
ITE1 CHESS User Interface	203.4.179.145	443	ite1-ui.asx.com.au
ITE1 CHESS User Interface (Authentication)	203.4.179.146	443	ite1-auth.asx.com.au



# Market Documentation – end January update

- Published [January 2022 Documentation Release notes](#)
  - User Guide to support ITE2
  - Operational Readiness Guide for ITE2 and Operational Readiness Scenarios, including:
    - Account Management, Holding Transfers, Payment Facilities, Collateral Management and CMM, Market Trades and Pricing, Demand Transfers and Settlement Instructions; and Funds Authorisations
    - Remaining scenarios will be published in subsequent releases
  - Accreditation Guide for ITE1 uplift to include:
    - Messaging Accreditation Scenarios - mFund functionality for incremental accreditation.
  - Updates for ITE2 for Guide to Testing Services and Failover & Recovery Guide

# ITE1 – Self-Service tools CDE vs ITE1

CHES Replacement

- Overview
- Space Settings

SPACE SHORTCUTS

- Home
- Glossary
- Pages
  - Operational Procedures & Guidelines
  - CHES User Interface
  - Functional Specification
  - Messaging
  - Connectivity
  - Implementation Phases
    - Industry Test Strategy
    - Guide to Testing Services
      - Section 01 - Introduction to the Guide to Testing Services
      - Section 02 - Test Environment Overview
      - Section 03 - Access to Industry Test Environments (ITEs)
      - Section 04 - Test Kits for ITE1
      - Section 05 - Test Tooling
        - 5.1 - Test Tooling for ITE1
        - 5.2 - Test Tooling for ITE2

Archived pages

5.1.4 ASX Assisted Testing

## 5.1.1 Self-Service Tools

A similar set of Self-Service tools to those provided in CDE will also be provided in ITE. There are a number of Self-Service tools which will no longer be available in ITE:

- Holding Administration Lock Self-Service Tool is not being migrated to ITE1 and will instead be available for assisted testing; and
- Broadcast Request Self-Service Tool is not being migrated to ITE1 and will instead be available for assisted testing.

Within the set of tooling available for ITE1, there are two which are performant and enables software provider to test performance. Prior to conducting performance testing, Software Providers will need to contact technical support, see [Support for ITE](#).

The below provides a list of Self-Service tools that will be available in ITE1 and the changes from the tool that was used in CDE. It indicates whether the tool is performant. A non-performant tool is a single transaction record per CSV or multiple records per csv (1-50 records). A performant tool is able to accept up to 100,000 records per CSV.

Additional information regarding Self-Service Tool will be published in a subsequent release.

Self-Service Tool	Description	Egress	Uplift for ITE1	Available For	Impersonating
Collateral Management	The Collateral Management tool allows Participants to act as the Collateral Manager (ASX Clear) and facilitate the testing of collateral management workflows.	pldg_301_semt_013	NO CHANGE	Participants	ASX Clear
Collateral Management		pldg_304_sese_023	NO CHANGE	Participants	ASX Clear
Holding Adjustments (non-performant version)	The Holding Adjustments tool is provided to the Participants to act as the Share Registry enabling Participants to perform different holding adjustment test scenarios.	hold_226_seev_036	MINOR CHANGE Uplifted CSV template to collect the actor ID of the Controlling Participant.	Participants	Registries
Account management	The Account Management tool is provided to the Share Registries enabling them to act as a Participant and generate the messages resulting from an participant initiated account maintenance workflow.	acct_013_acmt_003	NO CHANGE	Registries	Participant
Account management		acct_003_acmt_003	MINOR CHANGE Uplifted CSV template to collect the actor ID of the Controlling Participant.	Registries	Participant

# ITE1 – Assisted Testing

CHES Replacement

- Customer Development Environment (CDE)
- Industry Test Environment (ITE)
  - ITE Application Forms
  - Support for ITE
- Software Provider Readiness (ITE1)
  - ITE1 Known Issues & Limitations
  - ITE1 Test Data
  - ITE1 Test Tools
    - ITE1 Self-Service Tools
    - ITE1 Auto-responders
    - ITE1 Auto Injectors
      - ITE1 ASX Assisted Testing**
  - Accreditation Guide
  - CHES User Readiness (ITE2)
- Cutover and Migration
- Approved Market Operator (AMO)
- Product Issuer Settlement Participant (PISP)
- Payment Provider
- Release Notes
- What's New
- Frequently Asked Questions (FAQs)
- Other Information & Publications

Archived pages

CHES Replacement / ... / ITE1 Test Tools

ITE1 ASX Assisted Testing

There are a small number of test scenarios not supported by Self-Service, Auto-Responder and Auto-injectors. Instead, ASX will assist software providers to conduct the below testing.

**Please use the Cadence / Request column to submit your request.**

ASX Assisted Testing	Description	Available For	Required Information	Cadence / Request
<b>On-Request Transactions (Same Business Day)</b>				
<b>Technical Support teams will endeavor to action the following requests between the hours of support (9am to 5pm Sydney time, business days).</b>				
Account locked/unlocked by ASX	ASX is able to assist software providers with testing of unsolicited account lock administered by ASX.	<ul style="list-style-type: none"><li>Participant</li></ul>	<ul style="list-style-type: none"><li>User Identification Code (UIC)</li><li>Account (HIN)</li></ul>	Request an Account Lock / Unlock by ASX
Holding locked/unlocked by ASX	ASX is able to assist software providers with testing of unsolicited holding lock administered by ASX.	<ul style="list-style-type: none"><li>Participant</li></ul>	<ul style="list-style-type: none"><li>User Identification Code (UIC)</li><li>Account (HIN)</li></ul>	Request a Holding Administration Lock / Unlock by ASX
Update subregister status	ASX is able to assist software providers with testing of subregister status management testing including open, suspend, close and archive.	<ul style="list-style-type: none"><li>Participant</li><li>Issuer (Registry)</li></ul>	<ul style="list-style-type: none"><li>Security Code</li></ul>	Request a Subregister Status Update
Change of controlling participant	ASX is able to assist software providers with testing of unsolicited change of controlling participant flows for a single account. Partial and all accounts on a UIC (bulk) is not supported in ITE1.	<ul style="list-style-type: none"><li>Participant</li><li>Issuer (Registry)</li></ul>	<ul style="list-style-type: none"><li>Both User Identification Codes (UICs)</li><li>Account (HIN)</li></ul>	Request a Change of Controlling Participant (Single)
Reverse fail fee	ASX is able to assist software providers with testing of the reversal of a fail fee (levy).	<ul style="list-style-type: none"><li>Participant</li></ul>	<ul style="list-style-type: none"><li>User Identification Code (UIC)</li><li>Fail Fee Transaction Id</li></ul>	Request a Reverse Fail Fee
<b>On-Request Transactions (Next Business Day)</b>				
<b>Technical Support teams will endeavor to action the following transactions prior to settlement cut-off. Requests should be submitted before 6pm on the current business day to be executed the following morning between 7am and 11am.</b>				

# Update on Accreditation

# Technical Accreditation

## Messaging Accreditation Scenarios

### Updates in Jan release

Scenario Files: **Clearing and Settlement & Settlement Participant**

Sheet: Demand Trnf & Settlement Inst

Reason of Change:

- ASX acknowledge the market response that more participants will use Bilateral Settlement Instruction against Payment
- Simplify the scenarios to use Supplementary Reference and Override Basis of Moment in different scenarios

Scenario Files: **Specialist SP (Offeror)**

Sheet: Account and Holding Transfer

Scenario Files: **Payment Provider**

Sheet: Batch Settlement

Please refer to [January, 2022 - Documentation Release Notes](#) for more details

### Version Control for Scenario files

November release of Messaging Accreditation Scenarios was marked as base line for scenario files. ASX will introduce the version number for each file.

That will be mentioned on Messaging Accreditation Scenario [page](#) and with scenario file name.

# Technical Accreditation

## Messaging Accreditation Scenarios

- Software Providers who wish to accredit for mFund after initially accrediting for equity/cash market products, can adopt an incremental approach
- These scenarios enable an incremental approach to mFund accreditation by allowing Software Providers to accredit mFund and reaccredit mFund related features separate to a previously accredited system
- All scenarios are mandatory except for DRP/BSP scenarios. DRP/BSP scenarios become mandatory if the system was previously accredited for this functionality
- Scenarios applicable to Software Providers of:
  - Account Participants
  - Clearing & Settlement Participants
  - Settlement Participants



CHES Replacement

- ▼ Accreditation Guide
  - Section 01 - Introduction to Accreditation Guide
  - Section 02 - ASX Accreditation Process
  - Section 03 - Technical Accreditation Testing
  - Section 04 - Connectivity Accreditation
  - Section 05 - Messaging Accreditation Testing
  - ▼ Section 06 - Messaging Accreditation Scenarios
    - **mFund Incremental Accreditation**
    - Section 07 - CHES User by Feature, Message
  - CHES User Readiness (ITE2)
- Cutover and Migration
- Approved Market Operator (AMO)
- Product Issuer Settlement Participant (PISP)
- Payment Provider
- Release Notes

### mFund Incremental Accreditation Scenarios

These scenarios enable an incremental approach to mFund accreditation by allowing Clearing and Settlement, Settlement only and Account Software Providers to accredit mFund and reaccredit mFund related features separate to a previously accredited system.

All scenarios are mandatory except for DRP/BSP scenarios. DRP/BSP scenarios become mandatory if the system was previously accredited for this functionality.

• To view a Messaging Accreditation Script, right-click the relevant link below and select "Save link as...". This will download the Messaging Accreditation Script to your computer



Microsoft Excel Format (.xlsx)

Account Participant  
Clearing & Settlement Participant  
Settlement Participant

Q&A

# Forward Schedule



# Next steps

## Review and feedback:

- Slides and Q&A will be published on the CHES Replacement webpage
- Provide feedback by contacting [CHESReplacement@asx.com.au](mailto:CHESReplacement@asx.com.au) – use “SPR – WG” as the subject heading
- Feb 16 2022 – Initial CHES User Readiness WG for Clearing and Settlement participants

## Next Software Provider Readiness Working Group meeting:

- Date: Wednesday 9 March 2022
  - Ledger API Error Codes
  - Failover and recovery
  - Performance Testing

Thank you.



# Disclaimer

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