



CHES Replacement Project

**Software Provider Readiness
Working Group**

17 November 2021

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

-
- CDE10 Corporate Actions Frequently Asked Questions
-
- ITE1 Update
-
- ITE1 Test Kit & Test Tools Overview
-
- Q&A
-
- Forward Schedule
-

CDE 10

Corporate Actions – FAQ's

Frequently asked questions

Is **DRP/BSP election and enquiry function mandatory?**

- > **DRP/BSP election and enquiry** is optional for Participants
- > **DRP/BSP election and enquiry** is mandatory for Issuers (Registry)
- > **DRP/BSP Issuer initiated cancellation** is mandatory accreditation for all CHES users

Does a **DRP/BSP election have to be submitted against a current dividend corporate action?**

- > No, **DRP/BSP elections** are a standing instruction that can be submitted at any time, and do not need to reference a specific Dividend or Distribution event

Can a **DRP/BSP election be submitted for any Issuer or Security?**

- > A **DRP/BSP election** can be submitted:
 - For securities of those listed issuers that have a **DRP/BSP Plan** (and have advised ASX of such a Plan)
 - Securities of all **mFund Product Issuers**

Does **ASX record DRP/BSP information against the HIN?**

- > No, **ASX** does not store information related to **DRP/BSP** against a **HIN**

Frequently asked questions

Can multiple option types be submitted per DRP/BSP election?

- > A CHESS User may submit only one option type per DRP/BSP election. To record multiple DRP/BSP elections (e.g. partial DRP with partial BSP) multiple messages must be submitted
- > To change election type (e.g. from DRP to BSP) you must cancel the previous election and submit a new election

Can a DRP/BSP election be submitted if an account has a nil holding?

- > A holding balance or a cum entitlement holding balance must exist on the account for the Issuer in which the DRP/BSP election is being submitted

When would you need to cancel a DRP/BSP election?

- > A participant submitting a message to cancel DRP/BSP election indicates a request to revert to the plan default (usually cash)
- > An issuer submitting a message to cancel a DRP/BSP indicates the election is no longer eligible and has been cancelled

What is the purpose of the DRP enquiry?

- > DRP enquiry can be used to find out the current election status of a HIN where it is not known to the participant (e.g. elections made directly to the issuer or following a change of controlling participant).

What is the purpose of the Distribution Advice Notification?

- > Distribution Advice Notification replaces an existing mFund message (EIS 817) that accompanies a Holding Adjustment with distribution details. The message has been future proofed to support equities but not expected to be used in Day 1

ITE1 Update

Industry test environment

Environment availability

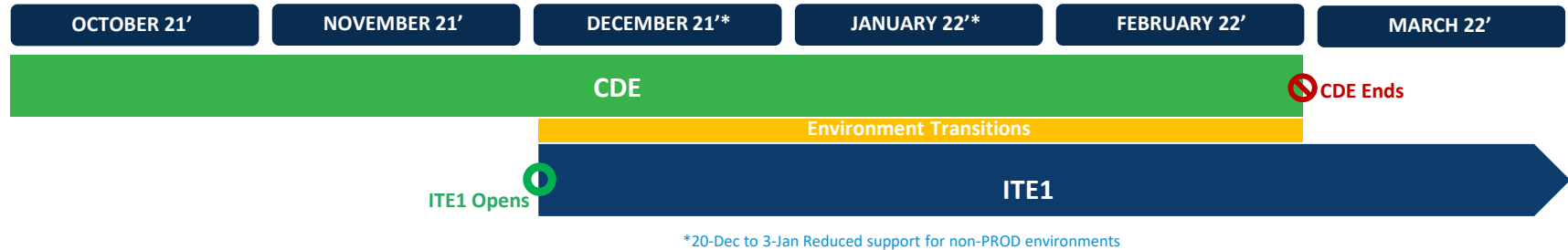
ITE1 opening – end of November 2021

- > ITE1 is a new environment for those organisations planning to technically accredit software for CHES Replacement
- > ITE1 is a single shared integrated environment and will replace CDE (CDE targeted for decommissioning end Feb'22)
- > Environment will initially open to allow user on boarding followed by system testing and technical accreditation (end April'22 to mid-July'22)

Key features

- > All software providers will co-exist in a single environment but with test kits to segregate testing
- > ITE1 will open with latest code drop (CDE10 + resolved issues) – all subsequent software drops will be made into ITE1 only
- > ITE1 implements full security and authentication
 - AMQP users will be required to enter ITE1 with ISO 20022 message signing enabled
 - Ledger API users will be required to enter ITE1 with token authentication, details [here](#) (and connect to ALC or SDC)
- > CHES User Interface will be available to test multi-channel access and general testing
- > AMQP users can test with multiple set of queues (i.e. registries) along with a new dedicated reporting queue

ITE1 Transition Timeline



- > ASX will transition organisations from CDE into ITE1 from December to end of Feb'22
- > Developers can maintain connectivity to both CDE and ITE1 until such time they have fully migrated across. Where practical clients should maintain a connection to CDE and switch to ITE1 after initial connectivity testing to ensure continuity of development/testing
- > All functions and features available from ITE1 opening with Corporate Action events starting from mid December
- > ITE1 will be a long running environment but ASX may need to reset / refresh in the event of both scheduled and unscheduled maintenance and therefore software providers are advised to ensure they can refresh their own environments where this is required as per CDE

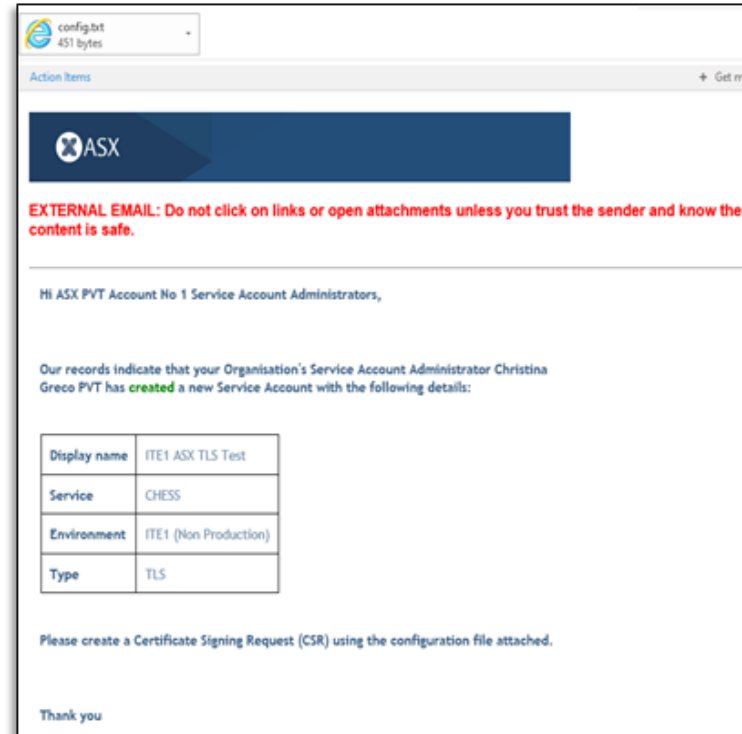
ITE1 Security Credentials - update

Security Credentials for ITE1

Interim process - Customer Service Account Management (CSAM) application

As an interim process for ITE1 open:

- > ASX will create the relevant Service Accounts on behalf of customers, based on the information provided in their ITE1 application form.
- > Following that, ASX (CTS) will send a config.txt file for each service account to their nominated Security Enterprise Administrator (EA).
- > EAs are expected to use this config.txt file to create their Certificate Signing Request (CSR) – additional information published 15 Nov.
- > Once created, CSR needs to be attached and emailed to ASX at CTS@asx.com.au
- > ASX/CTS will process the CSR, generate the certificate and email the certificate back to the EA, for each Service Account.



Security Credentials for ITE1

Interim process - Customer Service Account Management (CSAM) application

Refer to the documentation portal – Connectivity Guide, Section 06

<https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/pages/1672020722/Section+06+-+CSAM+Security+Details>

Documentation has been uplifted on 15 Nov to include:

- > ASX has provided example Open SSL details of how to create a CSR
- > Updated interim ITE1 open process for setting up security credentials.

✘ Important information on Certificate Signing Requests for the opening of ITE1

On the opening of ITE1, the self-service functionality of the CSAM portal will not be available. After the ITE1 application form has been submitted (available [here](#)), the ASX will create the relevant ITE1 service accounts on behalf of the customers for the relevant services. In turn, Software Providers will be sent by CTS the config.txt files for each of their service accounts as described in step 9 of 6.3.1 Creating a Service Account. Service providers are expected to create their Certificate Signing Request (CSR) for each of their accounts, using step 1 of 6.4.1 Creating a Certificate using a CSR as a guide. The software providers are then to attach and email back to CTS@asx.com.au their CSR (public key) and ASX will process it accordingly.

Customers with certificates issued prior to the release of CSAM will be required to replace their ITE1 active certificates when the platform is made available. This is to ensure familiarity with the CSAM platform and will be required as part on ongoing readiness activities, previously issued certificates will remain valid during the transition

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ITE1 – Test Kit & Test Tools Overview

Highlights - Test Kits & Test Tools

Test Tools

CDE vs. ITE

- Static values or generated values have been removed and will require user input (e.g. controlling participant of an account or transaction ID).
- Tool framework uplifted to provide Transaction ID and row number for technical and business error response to assist with troubleshooting. This only applies to self-serve tools where there is more than 1 row permitted.

ASX Assisted Testing

- Functions normally performed by the ASX have been removed (e.g. Broadcast Notification, Holding Admin Lock, etc..)
- Users will be required to submit request with CTS to initiate these requests.

CHES UI

- CHES users are encouraged to utilise the CHES UI (Browser) to complete unsupported workflows (where an ASX test tool has not been purpose built).
- Additional Actor IDs have been supplied in each test kit in order for users to impersonate counterparties to complete bilateral workflows.
- You can request BIC message preference via CTS, however test tools do not support BIC messaging. This preference can be changed only for your actors not those actors acting as your counterparty.

Performant Tools

- Trade Ingest and Holding Adjustment Tools will be made available at a later date (post ITE1 open). This will allow user to submit up to 100,000 records at one time (current limit is 1-50 rows).
- Initially, Software Providers will be required to schedule testing with CTS first before running the tools.

Test Kits

Kit Types

- Four test kits types available for Software Providers to request – **AMO, Participant, Payment Provider and Registry (Issuer)**.
- Each kit will have its own distinct set of entities, actors, role relationships mapped, securities and payment facilities (nominated only).
- Users are required to only use their specified actors and securities.
- Users will have BIC setup, contact Ops to setup BIC preference.

Corporate Actions

- ASX has seeded two sets of Corporate actions – functional testing and Accreditation scenarios. Functional scenarios will include Bonus, Rights, Dividends, Capital Returns, Interest Payments, Reconstructions, Takeovers, Buybacks, Call, Issuer Class Code and two concurrent corporate actions, seeded across the next 12 months.
- Accreditation scenarios will depend on the type of user, and will run on a weekly cadence for 12 months.
- All Test kits (excluding Payment Provider Kits) will have seeded CAs.

Accounts, Holders & Holdings

- No accounts, holder or holdings seeded by ASX in ITE1. No accounts, holder or holdings seeded by ASX in ITE1. A domestic & foreign Settlement Entrepot HIN will be only be seeded and hydrated for AMO and Payment Provider test kits.
- Both Payment Manager & Provider will be notified Payment Facility Details Reports (Acct_004) – message available for 10 days from ITE open.
- User are encouraged to use ISO messaging (Participant) or Bulk account create self-serve tool to create new accounts.
- Holding Adjustments, Bilateral Demand Transfer or I2P Conversions self-serve tools can be utilised to hydrate accounts with holdings.

Reference Files

- Once CTS receive your ITE1 application form with your nominated preference, a test kit will be allocated. This will be accompanied with a zip file containing all the various entities, actors, securities, Corporate Actions and payment facilities specific and unique to your test kit. This should not be shared to avoid cross contamination of test data and will be required for accreditation.

ITE1 Test Kits

Highlights

Test Kits



Participants

- > Actors – Participants (11), Payment Providers (2) and Bid Offerors (2).



Registry (Issuers)

- > Actors – Participants (7), Payment Providers (2) and Bid Offerors (2).
- > All non-prod securities have been used.



Payment Providers

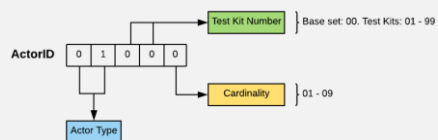
- > Actors – Participants (4) and Payment Provider (2).
- > There will be no corporate actions seeded in this test kit.



AMOs

- > Actors – Participant (9), Payment Provider (2) and AMO Entity (1).
- > Registered Trades will be processed via FIX channel using the FIX Gateway. All other Test Kit types will use the Trade Ingest Tool.

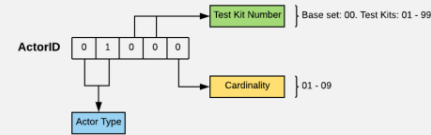
Actors



ACTORS							Actor Relationships by Role						
Actor Type	Description	Starting Digits 1st & 2nd	Registry	AMO	Payment Provider	Participant	Trading	Clearing	Market Settlement	Client Settlement	Holding Management	Account Management	
Trading, Clearing & Settlement Participant	These entities are authorised to perform trading, clearing, market settlement, client settlement, holding management and account management for themselves. They can perform mFund Order and Settlement for themselves.	01	01XX0	01XX0	01XX0	01XX0	01XX0	01XX0	01XX0	01XX0	01XX0	01XX0	
			01XX1	01XX1	01XX1	01XX1	01XX1	01XX1	01XX1	01XX1	01XX1	01XX1	01XX1
			01XX2	01XX2	01XX2	01XX2	01XX2	01XX2	01XX2	01XX2	01XX2	01XX2	01XX2
			01XX3	01XX3	01XX3	01XX3	01XX3	01XX3	01XX3	01XX3	01XX3	01XX3	01XX3
Trading Participant	These entities are authorised to perform trading functionality. They require another a third-party to perform clearing, market settlement, client settlement, holding management and account management for them.	02		02XX0			02XX0	01XX0	01XX0	01XX0	01XX0	01XX0	
Third Party Clearing & Settlement Participant	These entities are authorised to act as a third-party to perform clearing, market settlement, client settlement, holding management and account management for another participant OR a third-party to perform clearing, market settlement and client settlement for another	03		03XX0		03XX0				03XX0	20XX0	20XX0	
				03XX1		03XX1							
Non-Trading Settlement Participant	These entities are only able to perform client settlement, holding management and account management.	20				20XX0							
						20XX1				20XX1	20XX1	20XX1	
						20XX2				20XX2	20XX2	20XX2	
Trading & Account Participant	These entities are able to perform trading, holding management and account management. However they require a third-party to perform clearing, market settlement and client settlement for	04		04XX0		04XX0	04XX0	03XX0	03XX0	03XX0	04XX0	04XX0	
				04XX1		04XX1	04XX1	03XX1	03XX1	03XX1	04XX1	04XX1	
Payment Providers	These entities are able to perform Payment Provider services.	19		19XX0	19XX0	19XX0	19XX0						
Bid Offeror	These entities are authorised to act as a party that is offering to acquire shares ("Target securities"), either: in the case of a Takeover; the bidding company, or an agent of the bidding company proposing the Takeover; or in the case of a Buy-back; an Issuer (Registry), or an agent of the Issuer that is buying back securities from an eligible Account	15				15XX0							
						15XX1							
PISP	These entities are authorised to respond to mFund transactions.	13		13XX1	13XX1	13XX1	13XX1						
				13XX2	13XX2	13XX2	13XX2						
Issuers	These entities are authorised to act as Issuers for all securities	35XX0 to 39XX9, 55XX0 to 65XX9, 75XX0 to 78XX9, 89XX0 to 89XX9											
AMO entity	These entities are authorised to act as an AMO	10		Production									

- The 'XX' in Actor ID represents the test kit number assigned and ensures unique actors for your respective test kit.
- There are 10 different actor types. Important to use an actor that has the appropriate roles for the workflow being tested and/or test tool supporting the workflow.
- As Trading actors have been configured with various clearing and settlement relationships it is important to know which those are to understand which party will action various workflow steps

Payment Facilities



- > All Settlement actors are configured with a Payment Facility to one of two Payment Provider actors with the three sub-types:
 - > Batch
 - > Bilateral Demand Payer; and
 - > Bilateral Demand Receiver.
- > Actors configured with mFund Order and Settlement roles (includes PISPs) have also been configured with payment facility sub-types:
 - > mFund Application; and
 - > mFund Redemption

Payment Facility Manager	Payment Facility Provider	Payment Facility Subtype				
		Batch	BilateralDemandPayer	BilateralDemandReceiver	MFundApplication	MFundRedemption
01XX0	19XX0	✓	✓	✓	✓	✓
01XX1	19XX1	✓	✓	✓	✓	✓
01XX2	19XX0	✓	✓	✓	✗	✗
01XX3	19XX1	✓	✓	✓	✗	✗
03XX0	19XX0	✓	✓	✓	✓	✓
03XX1	19XX1	✓	✓	✓	✗	✗
20XX1	19XX0	✓	✓	✓	✗	✗
20XX2	19XX1	✓	✓	✓	✗	✗
13XX1 (PISP)	19XX0	✗	✗	✗	✓	✓
13XX2 (PISP)	19XX1	✗	✗	✗	✓	✓

- > All payment facilities are setup with type as nominated.
- > Payment facility details are available via messaging on first connection (subject to AMQP message archiving) or the same reference detail is available from a separately provide csv test kit reference file upon allocation of the test kit.

Example - DRP Election

Participant Kit

Controlling Participants will be able to use the auto-responder tool to get an Issuer (Registry) response.

- Security with an Issuer actor with DRP flag = 'Y'



Registry Kit

Issuer (Registry) will be able to use the Self-Serve tool to simulate a request coming from a Controlling participant

- Security with an Issuer actor with DRP flag = 'Y'
- One of the following actor types to use in the self-serve tool:
 - Trading, Clearing and Settlement
 - Non-Trading Settlement Participant

ITE1 Test Tools

Highlights

Test Tools



Self-Service tools

Enable a user to initiate a workflow (or process step) acting as a different actor through submission of a template csv file to a self-service REST end-point. The self-service adapter validates the file and generates the respective ISO 20022 message and submits to CHES (DLT Version).



Auto-responder tools

In a multi-party workflow, the user is able to receive an automated response acting as the counterparty for the workflow they initiated. This enables the user to continue the workflow in the absence of a real counterparty.















Auto-injector tools

On a scheduled event, workflows are actioned based on the state of transaction data and/or canned data will be automatically loaded to CHES (DLT Version) to reflect data that would be generated by the platform in a production environment, such as daily margin settlement advice.

ITE1 Test Tools

Auto-Injector

Test Tool	CDE10	ITE1	Notes
(1) Canned Trades			Superseded by Trade Ingest (self-serve test tool)
(2) End of Day Prices <small>Previously required for Standard Settlement Price (SSP)</small>			<ul style="list-style-type: none">Removed for ITE1 – however last traded price for 3 days (T0, T1, T2) will be seeded.AMOs can report FIX Type W messages (EOD prices)
(3) SRN			Superseded by SRN Test Tools (self-serve & auto-responder test tools)
(4) Daily Margin Settlement Advice			Unchanged
(5) Code Change			Unchanged
(6) Bid Finalisation			Scheduled to run every Thursday PM (if a business day), previously was every Friday



Exists in
CDE10 &
ITE1



Not
available













Change

Participant Test Tools

ITE1 Test Tools











Auto-Responder

Test Tool	CDE10	ITE1	Notes
(1) Bilateral Demand Transfers			Unchanged
(2) Bilateral Settlement Instruction			
(3) Bilateral Demand Sett. Instruction			
(4) Bank Account Notification (Reg)			Unchanged
(5) Payment Authorisation (PP)			Tool updated: <ul style="list-style-type: none">• Payment Providers will have 30 minutes to responder before the tool auto- responds, where the payment provider responds after 30 minutes they'll receive a rejection that can be ignored.• Only UIC is permitted in ITE1.
(6) Payment Service (RBA)			Unchanged
(7) mFund Applications (PISP)			
(8) mFund Redemption (PISP)			
(9) Cash Market Margin			Unchanged



ITE1 Test Tools

Auto-Responder

Test Tool	CDE10	ITE1	Notes
(10) Issuer to Participant Conversions & Transfers			Unchanged
SRN: (11) Enquiry (12) SRN Balance enquiry			<ul style="list-style-type: none">• Tool now supports mFunds in addition to Equities.• Logic change:<ul style="list-style-type: none">• For Equities the last digit of the corresponding Issuer Actor (security) will determine if it'll accept, reject or ignore the SRN request.• For mFunds the last character of the security code. Limited to 1 rejection reason.
(13) Collateral Creation / Removal for ETO and CMM			<ul style="list-style-type: none">• Where the actor 03XX1 (one of the two allotted 3rd party clearing & settlement participants actors) is the receiving party the auto-responder will ignore so that it can be received in AMQP and responded directly to messages as required.
(14) Takeover/Buyback Election			Unchanged
(15) Takeover/Buyback Election Cancellation			Unchanged



Exists in
CDE10 &
ITE1



Not
available










Change



ITE1 Test Tools

Self-Service





Test Tool	CDE10	ITE1	Notes
Collateral Management (ASX Clear) (1) Removal of CMM and ETO collateral (2) Release and Transfer of CMM and ETO collateral			Unchanged
(3) Holding Adjustment			Uplifted CSV template to collect Actor ID of the controlling participant
(4) Trade Ingest			Tool updated: <ul style="list-style-type: none">• Trade ID must be user defined and must be unique on the trade date.• CHES (DLT) now accepts NSX registered Trades. User are required to use Market ID of XNEC and Trade ID pre-fix of 'N' when submitting NSX trades.• To construct a unique trade ID, non-AMOs using the trade ingest tool are required to follow this convention:<ul style="list-style-type: none">- MIC prefix – 1 or 2 (XASX), C (CHIA), N (XNEC)- Fixed alpha character – 'T'- Assigned Test Kit Number [0-9]{2}- User Defined Trade number [0-9]{6}e.g. NT66123456
(5) DRP Election Cancellation Request			Unchanged



Registry & PISP Test Tools

ITE1 Test Tools

Auto-Responder

Test Tool	CDE10	ITE1	Notes
(1) Payment Provider Authorisation			<ul style="list-style-type: none">Where payment fund authorization reason is 'PFAU', Payment Providers will have 30 minutes to respond before the tool auto-responds. Where the Payment Provider has already responded with the 30 minutes, they'll receive a rejection of the auto-responder attempt that can be ignored.Only UIC is permitted in ITE1.
(2) Takeover/Buyback Election			Unchanged



Exists in
CDE10 &
ITE1













Not
available



Change

ITE1 Test Tools

Self-Service

Test Tool	CDE10	ITE1	Notes
(1) Bulk Account Creation			<ul style="list-style-type: none">Uplifted CSV template to collect Actor ID of the controlling participantTool will be expanded after ITE1 open to support other account types
Account Management: (2) Account Maintenance (3) Investor Data & Tax Advice (4) Bank Account Notification			Unchanged
(5) SRN Enquiry:			Uplifted CSV template to collect Actor ID of the controlling participant
(6) Transfer & Conversions Request			Uplifted CSV template to collect Actor ID of the controlling participant
Dividend Reinvestment Plan: (7) Enquiry (8) Election request (9) Election cancellation			Unchanged



Exists in
CDE10 &
ITE1







Not
available






Change

ITE1 Test Tools

Self-Service (PISP)

Test Tool	CDE10	ITE1	Notes
(10) mFund App. + Investor Data			Uplifted CSV template to collect Actor ID of the controlling participant & Holder ID field.
(11) mFund Redemptions			Unchanged

 Exists in CDE10 & ITE1  Not available  Change

Payment Provider Test Tools

ITE1 Test Tools



Test Tool	CDE10	ITE1	Notes
(1) Real Time Pre-payment Authorisation and Post Payment Notifications			<p>Uplifted CSV template to collect the actor ID of the Controlling Participant.</p> <p>Static values have been removed and users are now required to input the following values into the CSV template:</p> <ul style="list-style-type: none">• Transaction ID;• Participant Reference;• Underlying Reference;• ASX Security Code;• HIN; and• Receiving Actor ID.
(2) Unilateral Settlement Instruction			New tool available in ITE1 Patch
(3) Bilateral Settlement Instruction			New tool available in ITE1 Patch

Exists in CDE10 & ITE1 Not available Change

Corporate Actions

ITE1 - Corporate Actions

Corporate Actions	Frequency (approximately)	Accreditation Required
Bonus Issues	<ul style="list-style-type: none">• Fortnightly (Bonus – Functional)• Weekly (Bonus – Accreditation)	Yes
Calls	<ul style="list-style-type: none">• Monthly	No
Capital Returns	<ul style="list-style-type: none">• Fortnightly	No
Class Merger	<ul style="list-style-type: none">• One in five weeks (Functional)• Weekly (Accreditation)	Yes
Code Change	<ul style="list-style-type: none">• One in five weeks	No
Dividends <ul style="list-style-type: none">• Cash Dividend• Dividend Option• Dividend Reinvestment	<ul style="list-style-type: none">• Fortnightly (Cash Dividend - Accreditation)• Fortnightly (Dividend Options & (Dividend Reinvestment)• Weekly (Cash Dividend - Accreditation)	Yes (Cash Dividends)
Interest Payment <ul style="list-style-type: none">• Interest Payment• Interest Payment with Principal• Scrip Dividend Interest	<ul style="list-style-type: none">• Fortnightly	No
Reconstructions <ul style="list-style-type: none">• Stock Splits• Consolidations	<ul style="list-style-type: none">• Monthly (Functional)• Weekly (Stock Split – Accreditation)	Yes (Stock Splits)

ITE1 - Corporate Actions

Corporate Actions	Frequency (for all sub-types)	Accreditation Required
Rights Issue <ul style="list-style-type: none"> • Non-Renounceable – No Attaching Options • Renounceable – No Attaching Options • Renounceable – Attaching Options (Paid) • Renounceable – Attaching Options (Free) • PATREAO – A pro rata accelerated institutional tradeable retail renounceable entitlement offer (PATRIO) – AOPT • Accelerated Renounceable – Attaching Options (Paid) 	<ul style="list-style-type: none"> • Fortnightly (across all scenarios) 	No
Takeovers <ul style="list-style-type: none"> • Conditional • Unconditional 	<ul style="list-style-type: none"> • Monthly (Functional) • Weekly (Accreditation) 	Yes
Buyback (Off Market – Equal Access)	<ul style="list-style-type: none"> • Monthly 	No
Combo # 1 Capital Return & Reconstruction	<ul style="list-style-type: none"> • Monthly 	No
Combo #2 Bonus issue & Cash Dividend	<ul style="list-style-type: none"> • Monthly 	No

ITE1 Test Tools

Supplementary Information

New Tools being delivered post ITE1 open

- > Fund Application Order Completion self-serve tool
- > mFund Redemption Order Completion self-serve tool
- > Trade Ingest self-serve tool (performant)
- > Holding adjustment self-serve tool (performant)
- > Bid Offeror Transfer self-serve tool

Uplift to existing tools delivered post ITE1 open

- > Bulk account creation self-serve tool to be extended to support other account types
- > Daily Margin settlement Advice auto-injector to include end of day updates & deficit values
- > Bilateral settlement instruction AR tool to include settlement tolerances

For more information, please visit the ASX Guide to Testing Services:

<https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/pages/1651804731/Guide+to+Testing+Services>

Q&A

Forward Schedule

Industry testing supporting documentation

Refer to Section 6 of the Industry Test Plan

Documentation already published:

- > Industry Test Strategy – **Jun 21**
- > Connectivity Guide (ITE1) – **Jul 21**
- > Messaging Accreditation (netting & settlement updates) – **Aug 21**
- > Guide to Testing Services (ITE1) – **Sep 21**
- > Failover & Recovery details (ITE1) – **Sep 21**
- > Connectivity Guide (ITE-M) – **Sep 21**
- > Connectivity Guide (ITE2) – **Sep 21**
- > CHESS UI (mFunds) – **Sep 21**
- > Connectivity Guide (Security) – **Oct 21**

Upcoming documentation (end Nov):

- > Guide to Testing Services (uplift) – **Nov 21**
- > Accreditation Guide for ITE1 – **Nov 21**

Upcoming key documentation milestones

- > Operational APGs completed – **by Dec 21**
- > Ops Readiness Scenarios – **Dec 21**
- > Cutover & Migration Strategy – **Dec 21**
- > Guide to Testing Services (ITE2) – **Jan 22**
- > Failover & Recovery details (ITE2) – **Jan 22**
- > Market Dress Rehearsal (MDR) details – **Jul 22**
- > Industry Wide Testing details – **Sep 22**

The forward release plan will continue to be updated highlighting when key deliverables and topics will be published to the market

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 – use “SPR – WG” as the subject heading

Next Software Provider Readiness Working Group meeting:

- > Date: Wednesday 8 Dec 2021 2pm-3.30pm

Forward Schedule

- > Registration Details tool changes
- > Technical Accreditation Guide
- > Application Accreditation Checklist
- > Messaging Accreditation Timeline
- > Exemption Process - overview

Thank you.



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