



ASX Clear (Futures) Static Data Portal

User Manual – ETD only Clearing Participants



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This document has been compiled with a view to informing prospective users of the ASX Clear (Futures) Client Clearing Service for ASX 24 Exchange Traded Derivatives (ETDs) and Over The Counter (OTC) Trades. Please note:

- Recipients of this document are asked not to forward this paper outside of their organisations and not to publish the material in any way without ASX's prior permission;
- This paper does not constitute legal or financial advice;
- The proposals outlined in this document are subject to refinement by ASX based on expert and customer feedback, ASX Clearing Board approval and regulatory clearance.

1. Clearing Participant – ETD only

1.1. Introduction

1.1.1. Purpose of ASX Clear (Futures) Static Data Portal

ASX Clear (Futures) Static Data Portal (SDP) is a web based system that provides Clearing Participants the access to directly enter and update Static Data used within the clearing process for Exchange Traded Derivative (ETD) products. This Static Data includes but is not limited to, Client Accounts and Clearing Participant Entities and Standard Settlement Instructions.

1.1.2. Audience for this Manual

The ASX Clear (Futures) Static Data Portal User Manual has been written for ASX Clear (Futures) Clearing Participants. The Clearing Participants users of the ASX Clear (Futures) Static Data Portal include:

- Clearing Participant Administrator User
- Clearing Participant Submitter User
- Clearing Participant Approver User

This user guide covers the following subject areas:

- 1) Introduction and system overview
- 2) User access and administration functionalities
- 3) Client Clearing Account Structure
- 4) Workflows and Actions
- 5) Approvals and Rejections
- 6) Static Data Portal Web Pages
- 7) FAQs
- 8) Contacting ASX Support

1.2. Setup and Access

1.2.1. System Setup

To access the ASX Clear (Futures) - Static Data Portal, you need to have the following:

- Internet Explorer 7, 8 or 9.
- JavaScript enabled browser
- ActiveX Controls set to "Enabled"
- Onsite MSI package installed for Windows XP Operating System

1.2.2. Accessing ASX Clear (Futures) – Static Data Portal

Open your browser and navigate to <https://asxstaticdata.connect.asxonline.com>

In order to log in to the Static Data Portal you will need to have the following:

- An Active ASX Online user profile (user name and password)
- An enrolled and installed Digital Certificate supplied by ASX
- Relevant User profile set up in the SDP.

See 2.4 User Access for more details on obtaining the above and logging into the SDP

1.2.3. Session Timeout

Session timeout and disconnection occurs after 60 minutes of inactivity and any unsaved information will be lost. To continue using the ASX Clear (Futures) – Static Data Portal you are required to log in and authenticate again.

1.2.4. Changing your password

Passwords to use the ASX Clear (Futures) service are the same as the password used to access the ASX Online service. If you are given an ASX Online password for the first time, you will need to change that password initially in ASX Online before trying to login to the ASX Clear (Futures) Static Data Portal. ASX Online passwords expire every 45 days and you will be prompted by the system to create a new password. If your password has expired, a message will be displayed when you next attempt to log in to ASX Clear (Futures) Static Data Portal. You will not be able to log in until you have changed your password. All password changes are conducted through ASX Online.

To change your password, follow the prompts presented to you on screen. Please note: the following requirements must be met when setting your password:

1. Passwords must contain characters from at least three (3) of the following four (4) classes:
 - English upper case letters, i.e. A-Z
 - English lower case letters, i.e. a-z
 - Numeric Values, i.e. 0-9
 - Non-alphanumeric special characters of: \$ (dollar sign) or _ (underscore)
2. Passwords may not contain the username or any part of the user's full name
3. Passwords must be between 8-12 characters long
4. New passwords must not be the same as the previous password

1.3. Operating Hours

The ASX Clear (Futures) Static Data Portal is available to users 24x7 365 days per year.

**Note:**

Changes to Static Data will not be reflected in daily EOD Static Data Reports unless the change was made and approved prior to 6pm AEDST Mon – Fri. Changes made outside of these hours will be reflected in Static Data Reports available at the end of the next business day.

1.4. User Accessibility

The first user(s) at any Clearing Participant will need to be set up by the ASX as a Clearing Participant Administrator User (see section 2.4.1.1 Clearing Participant Administrator User Set Up for details on how to do this). This Administrator User will then be able to create and update further users (Clearing Participant Administrators, Submitters and Approvers)

1.4.1. Creating Users

The ASX Clear (Futures) – Static Data Portal uses user types and permissions to control access. There are three user types associated with the portal, namely:

1. **Clearing Participant Administrator** – This user controls the right to assign user permissions for the Clearing Participant. This user can assign a user against either:
 - Clearing Participant Administrator
 - Clearing Participant Submitter
 - Clearing Participant Approver
2. **Clearing Participant Submitter** – This user can enter and submit static data information for approval.
3. **Clearing Participant Approver** – This user reviews and either approves or rejects static data submitted by the Clearing Participant Submitter.

Section 2.5.1 provides step by step instructions on how the Administrator Users can create further user profiles within the SDP.

Note: More than one user role can be assigned against a user by the Clearing Participant Administrator. Where a user has been assigned against a Clearing Participant Submitter and Clearing Participant Approver role, that user cannot approve his/her own work.

1.4.1.1. Clearing Participant Administrator User Setup

To create an ASX Clear (Futures) Static Data Portal Clearing Participant Administrator User, you should:

1. Ensure you have an active ¹ASX Online profile: [Contact ASX Online Help Desk](#)
2. Complete, scan and email the following [form](#) to: asxclearfutures@asx.com.au
3. Receive Clearing Participant Administration User credentials from ASX Clearing Operations by email
4. Enrol and Download Digital Certificate - [Digital Certificate Procedures](#)
5. Confirm login at the following link: <https://asxstaticdata.connect.asxonline.com>

¹ Users must login to ASX Online and change their password to activate their account

**Tip:**

If a user setup by a Clearing Participant administrator is unable to access the ASX Clear (Futures) Static Data Portal, they can refer to the [Appendix 3: Troubleshooting](#).

[Appendix 3: Troubleshooting](#) highlights three most common areas that can prevent users from accessing ASX Clear (Futures) Static Data Portal:

- Browser Related Issues
- Digital Certificate Issues
- Static Data Portal Access Issues.

1.4.1.2. Clearing Participant Submitter / Approver Setup

To create an ASX Clear (Futures) Static Data Portal Clearing Participant Submitter or Approver role, you should:

1. Ensure you have an active² ASX Online profile: [Contact ASX Online Help Desk](#)
2. Ask your Clearing Participant Administrator to create a Clearing Participant User profile and request a Digital Certificate – refer to [Administration Functionality](#)
3. Enrol and Download Digital Certificate - [Digital Certificate Procedures](#)
4. Confirm login at the following link: <https://asxstaticdata.connect.asxonline.com>

² As per foot note 1

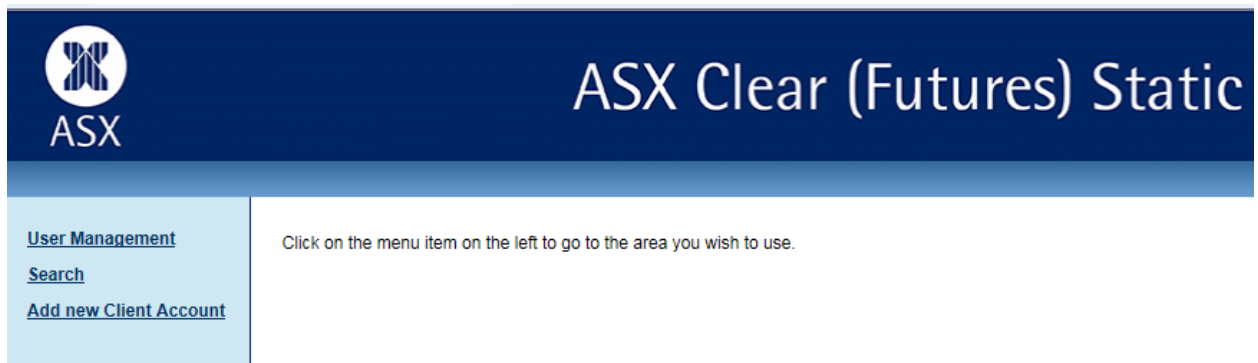
1.5. Administration Functionality

The Administration functionality of the ASX Clear (Futures) Static Data Portal enables a Clearing Participant Administrator to:

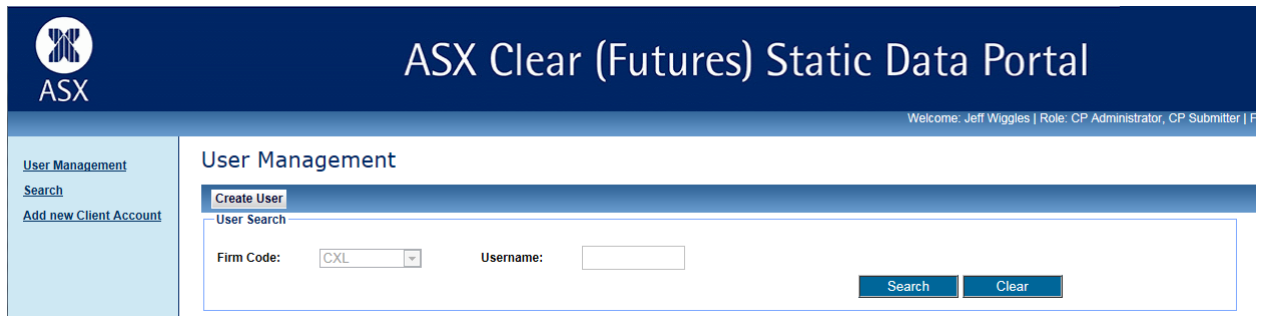
- Create,
 - Edit, and
 - Disable
- 1) Clearing Participant Administrator user accounts
 - 2) Clearing Participant Submitter user accounts
 - 3) Clearing Participant Approver user accounts

1.5.1. Create a new user

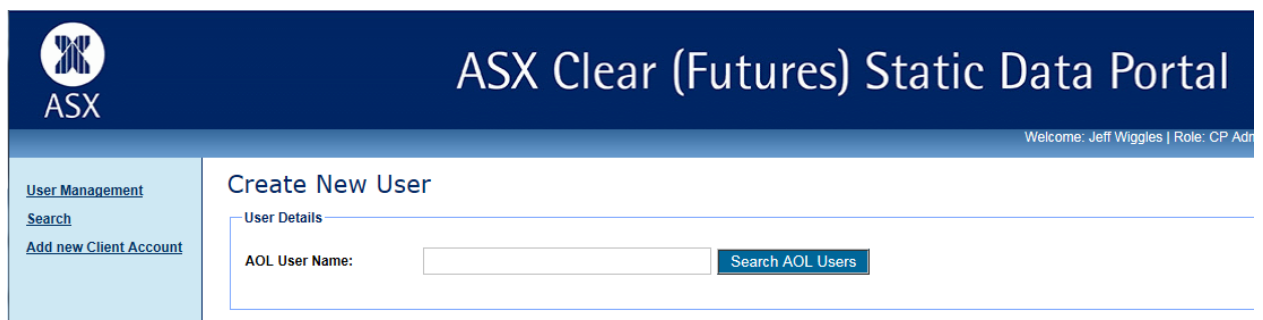
1. Create a new user by first clicking on the 'User Management' link in the navigation panel on the left hand side of the screen. The User Management Search screen will appear as per below:



2. Click on the 'Create New User' button.



3. Clearing Participant Administrators will be able to search for usernames that have already been set up in ASX Online against their Firm. ASX Online usernames are case sensitive.



4. If a match is found, the following details will be populated:

- ASX Online User Name
 - First Name
 - Last Name
 - Email Address
 - Firm Code
5. Input a relevant Contact Number for the Clearing Participant User
 6. Nominate one or more user roles :
 - Submitter
 - Approver

Clearing Participants have the ability to manage their own Users and User privileges. Request a digital certificate on the user's behalf, by checking 'Request Certificate' and click "Create User" to apply changes. This will send a request to ASX Online Help Desk who will provide a VeriSign digital certificate to the User.

7. Click the 'Close' button to end the user creation process.

1.5.2. User Search

Username	First Name	Lastname	Firm	Email	Contact Number	Account Enabled	Roles
cba_sub	Jeff	Wiggles	CXL	JWigglestest@asx.com.au		True	CP Administrator, CP Submitter
dmu30	DMU	MOS30	CXL	dmu30test@asx.com.au		True	CP Approver

1. Go to the 'User Management' screen.
2. Input the Username.
3. Click 'Search'
4. Results will appear in summary form

1.5.3. Edit User

1. Locate the Clearing Participant User in question as per User Search
2. Click on the Clearing Participant User in the search results
3. Make the following changes as appropriate:
 - Roles – Submitter/Approver
 - Revoke Certificate – Send request to ASX Online Help Desk
 - Request Certificate – Send request to ASX Online Help Desk
 - Activate or Disable User Access

1.6. Client Clearing Account Hierarchy

Within the Static Data Portal there are two entity types:

Clearing Participant Entity (Level 1) – this is set up by the ASX prior to the CP on-boarding. All Clearing Participant details such as ABN, LEI, Address, Contact Details are appended to the Clearing Participant Entity by the ASX. A unique 3-digit Clearing Participant code is assigned to each CP Entity. See section 2.10 Clearing Participant Entity Records for more details.

Client Entity (Level 2) – this is set up by the ASX upon request from either the CP or the Client Directly. In order to set up a new Client entity the Client (or the Clearing Participant on behalf of the client) must fill in and submit to the [ASX the Client Entity Configuration Form](#). A unique 3-digit Client code is assigned to each Client Entity.

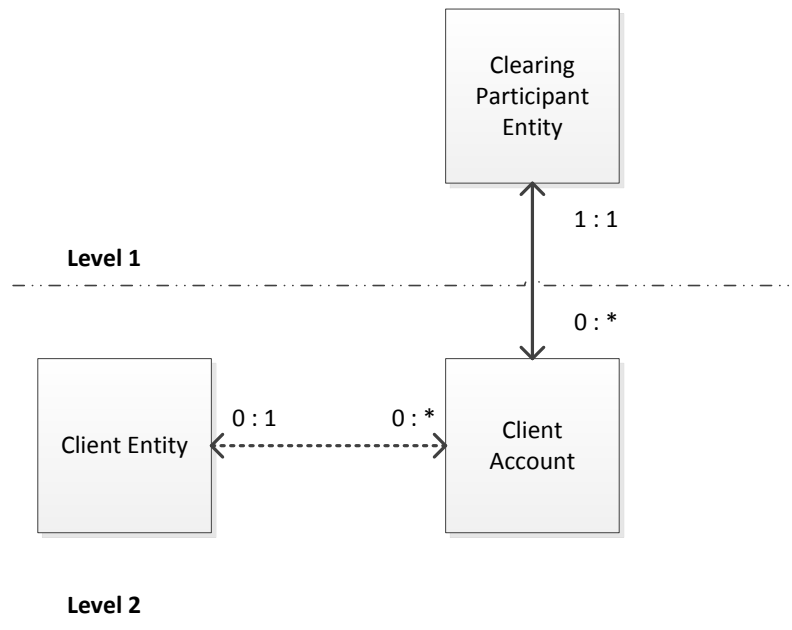
The following diagram illustrates the relationship between each Entity type record for Clearing Participant and Clients that can clear across Futures only. For reference, the following conditional terminology is used:

1 : 1 = 1 and only 1 Entity record is associated with its related Entity partner.

0 : * = 0 to many Entity records are associated with its related Entity partner.

In order to read the diagram, apply the condition at the arrow pointing away from the Entity that you wish to map the relationship for.

I.e. a Clearing Participant can have 0 : * Client Accounts associated with it.



Exceptions to the rules above include:

- A Futures *House Participant Entity* will **not** be managed within the Static Data Portal
- A Client Account that has been configured as an *Omnibus Account* will **not** be associated with a Client Entity.

- Book / Funds will **not** be associated with a *Futures* Client Account as all positions will be allocated to the Client Account.
- A Futures Client Account **cannot** be configured as an Omnibus Account. The creation and allocation of Omnibus Client Accounts will be as per the existing configuration and allocation process within Secur / Genium.

1.7. Workflows Status & Action States

In order to create or edit existing records within the Static Data Portal, a workflow approval process is enforced to ensure that data is verified and validated prior to being deployed.

The following workflow status states are assigned by the system based on the action performed by a Clearing Participant user.

Action	Status	User Role who can perform action	Rules
Save	Saved	Submitter	<p>The record has been saved to the system but has not yet been deployed</p> <p>Mandatory and functional field validation rules are not applied when saving a record into the system</p> <p>A Submitter user can save a record into the system</p> <p>An Approver user does not have the ability to approve or reject records that have a status of 'saved'</p>
Cancel	Deleted	Submitter	<p>A record that is currently in the process of being created, but is not yet approved can be deleted from the system. The delete can only apply from the saved state</p> <p>The edit performed against an Approved record can be deleted from the system. The delete can only apply from the saved state</p> <p>A deleted record cannot be viewed or retrieved at a later date</p>
Submit	Submitted	Submitter	<p>The record has been submitted for approval by the submitter user</p> <p>Mandatory and functional field validation rules are applied when submitting a record in the system</p> <p>An Approver user will have the ability to approve or reject records that have a status of 'submitted'</p>
Approve	Approved	Approver	<p>The submitted record has been approved by the Approver user and is now deployed to the system</p> <p>Or</p> <p>Where the record submitted (CP Submitted) for review and approval by the ASX was approved</p>

Action	Status	User Role who can perform action	Rules
Reject	Rejected	Approver	The submitted record has been rejected by the Approver user and will be available to be amended prior being either re-submitted or deleted from the system by the Submitter user Where a record has been rejected a Reject reason will need to be appended to the record
Approve	CP Submitted	ASX User	The CP Submitted status will be triggered where the Clearing Participant has attempted to make a Client Account Inactive from either an Active or Hold State
Reject	ASX Reject	ASX User	The CP Submitted record has been reviewed and rejected by the ASX. The record can be amended prior to being either re-submitted or deleted from the system by the Participant Submitter user Where a record has been rejected the ASX will append a Reject reason to the rejected record

1.8. Approved Status States

Once a record has traversed through the workflow approval process, an approved status will be assigned to the record.

The approved status represents the end / deployed state of the record and can be one of the following:

Status	Description	Rules
Active	The record is active within the system	All active records associated with the Clearing Participant users Firm code can be viewed within the system
Inactive	The record is not active within the system	As a Clearing Participant user, a Client Account as well as the Book / Funds associated with the Client Account can be made Inactive As a Clearing Participant user, any Client Accounts set to Inactive can still be viewed within the system
Hold	A Hold status can be representative of a number of scenarios where no action can be taken against the record. Hold is applicable in the scenario where the Client Entity has defaulted	In a default scenario where the Client has defaulted, as a Participant user the Client Account can be set to Hold. As a Clearing Participant user, any Client Accounts set to Hold can still be viewed within the system

Status	Description	Rules
Pending	A Client Entity record is neither active nor inactive within the system and is in the process of being setup and configured prior to being made Active for trading. Therefore Client Accounts and Book / Funds can be created against the Client Entity but only in a Pending status.	<p>Where a Client Entity has been set to Pending, Client Accounts records created against the Client Entity can only be created in a Pending status</p> <p>Once the Client Entity has been set to Active, all Client Accounts records associated with the Client Entity will be set to Active automatically</p> <p>As a Clearing Participant user, Client Accounts set to Pending can still be viewed within the system against the Pending Client Entity</p> <p>A record cannot be set to Pending once it has become Active within the system</p>

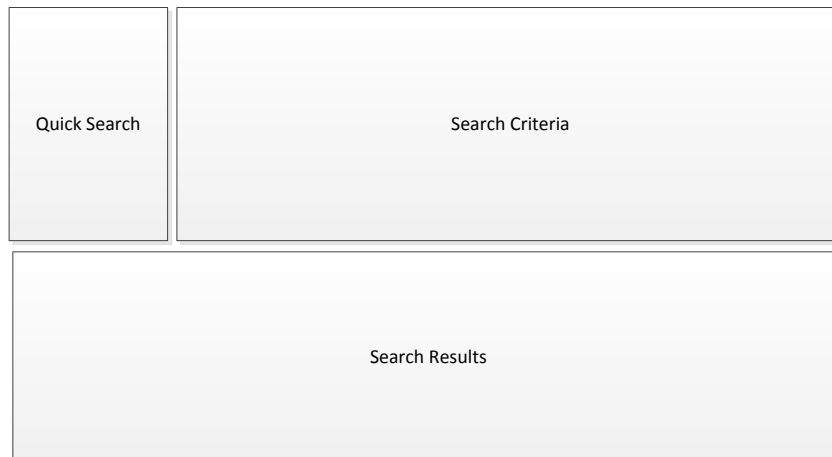
1.9. Record Search Page

Once login and authentication is successful for the Static Data Portal the Clearing Participant User will be presented with the Record search Page.

The record search page allows a user to search for:

- Clearing Participant details associated with their Clearing Participant Entity Code
- Client Account details associated with their Clearing Participant Entity Code

The Record Search Page has been divided into the following components:



1. Quick Search
2. Search Criteria
3. Search Results

The following sections provide information on how to retrieve information stored within the Static Data Portal using each of the above components.

1.9.1. Quick Search

The Quick Search pane allows a Clearing Participant user to quickly return records within the Search Results pane without the need to specifically enter Search Criteria



The following quick search links are available along with the associated description:

Quick Search	Description
Search for all Saved Records	Return all Saved Records associated to the Clearing Participant User
Search for all Submitted Records	Return all Submitted Records associated to the Clearing Participant User
Search for all Rejected Records	Return all Rejected Records associated to the Clearing Participant User
Search for all CP Submitted Records	Return all CP Submitted Records associated to the Clearing Participant User
Search for all ASX Rejected Records	Return all ASX Rejected records associated to the Clearing Participant User



Note:

Results returned as a result of a quick search link will be displayed irrespective of the Account hierarchy structure and will be grouped based on the entity structure as follows:

- CP Entity
- Client Entity
- Client Account

1.9.2. Search Criteria

The Search Criteria pane allows a Clearing Participant User (Submitter / Approver) to specify individual search criteria to return specific search results.

Multiple search criteria fields can be combined in order to further restrict or confine the search results returned.

A description of the individual search criteria fields applicable within the Static Data Portal are defined below:

Quick Search	Field Type	Description	Application
Clearing Participant Code	Drop Down	This will be locked to the Firm code associated with the Clearing Participant User Id	When used in isolation, all records associated with the Firm code will be returned in the search results pane

Quick Search	Field Type	Description	Application
Client Entity Code	Drop Down	All Clients associated with the Clearing Participant Firm will be visible within the dropdown list Where a Client Entity has been selected from the drop down list, - Client Entity Name - ABN - LEI and - Company Registration Number fields cannot be edited	Where a Client Entity Code has been selected from the drop down list, the Client Accounts associated with that specific Client Entity Code will be returned in the search results pane along with the Parent information
Client Entity Name	Free Text	A search can be performed on a Client Entity Name Where a Client Entity Code has been selected, the Client Entity Name is returned and cannot be edited	A Client Entity Name can be entered as text without wildcard characters or with wildcard characters added. Wild card characters include: * = <i>matches zero or more characters</i> Client Accounts matching the Client Entity Name text string entered will be returned in the search results pane along with the Parent information
Client Entity ABN	Number	A search can be performed on an ABN assigned against a Client Entity. Where a Client Entity Code has been selected, the Client Entity ABN cannot be edited	Client Accounts matching the Client Entity ABN entered will be returned in the search results pane along with the Parent information
Client Entity LEI	Free Text	A search can be performed on an LEI assigned against a Client Entity. Where a Client Entity Code has been selected the LEI cannot be edited	Client Accounts matching the Client Entity LEI entered will be returned in the search results pane along with the Parent information
Client Entity Company Registration Number	Free Text	A search can be performed on an Company Registration Number assigned against a Client Entity. Where a Client Entity Code has been selected the Company Registration Number cannot be edited	Client Accounts matching the Client Entity Company Registration Number entered will be returned in the search results pane along with the Parent information

Quick Search	Field Type	Description	Application
Client Account Code	Drop Down	All Client Accounts associated with the Participant Firm will be visible within the dropdown list Where a Client Account has been selected from the drop down list, - Client Account Name - Swapswire Id fields cannot be edited	Where a Client Account Code has been selected from the drop down list, the Client Account Code will be returned in the search results pane along with the Parent information
Client Account Name	Free Text	A search can be performed on a Client Account Name Where a Client Account Code has been selected, the Client Account Name is returned and cannot be edited	A Client Account Name can be entered as text without wildcard characters or with wildcard characters added. Wild card characters include: * = <i>matches zero or more characters</i> Client Account(s) matching the Client Account Name text string entered will be returned in the search results pane along with the Parent information
Swapswire Id	N/A	N/A	N/A
Book / Fund Code	N/A	N/A	N/A
Book / Fund Name	N/A	N/A	N/A
Clearing Participant Status	Drop Down	Options available will be either 'Blank' or 'Active'	When used in isolation, all records associated with the Clearing Participant will be returned
Clearing Participant Outstanding Actions	Drop Down	Options available will be either 'Blank' or 'Saved' or 'Submitted' or 'Rejected'	When used in isolation all records matching the status entered will be returned When combined with Clearing Participant Status, the records returned will act as a union / join between the two status'
Client Entity Status	Drop Down	Options available will be either 'Blank' or 'Active'	When used in isolation, all records associated with the Client Entity will be returned
Client Entity Outstanding Actions	Drop Down	This will be blank	N/A

Quick Search	Field Type	Description	Application
Client Account Status	Drop Down	Options available will be either 'Blank' or 'Active' or 'Inactive', 'Pending' or 'Hold'	<p>When used in isolation, all records associated with the Client Account will be returned</p> <p>When combined with Clearing Participant Status, the records returned will act as a union / join between the two status', i.e.</p> <ul style="list-style-type: none"> - Active (CP) + Active (Client Account), will only return records where the CP AND associated Client Account are Active
Client Account Outstanding Actions	Drop Down	Options available will be either 'Blank' or 'Saved' or 'Submitted' or 'Rejected' or 'CP Submitted' or 'ASX Rejected'	<p>When used in isolation all Client Accounts matching the status entered will be returned</p> <p>When combined with Client Account Status, the records returned will act as a union / join between the two status', i.e.</p> <ul style="list-style-type: none"> - Active + Saved, will only return Client Account records that are Active that also have a Saved workflow appended against it.
Book / Fund Status	Drop Down	N/A	N/A
Book / Fund Outstanding Actions	Drop Down	N/A	N/A
Filter Inactive	Check Box	Allows a user to filter Inactive records from the Search result pane	Inactive records will be either omitted (where check box has been checked) or displayed (where check box has been unchecked)

1.9.3. Search Results

The results of either a Quick Search or specific Search Criteria appended will be visible within the Search Results pane.

Clearing Participant			Client Entity			Client Account			Book / Fund		Status	Outstanding Actions	Last Action Date
CP	Ledger	CTI	Code	NP	Capital C Client	Code	Name	Type	Code	Name			
<input type="checkbox"/> CXL											ACTIVE	Submitted - ASX	11/04/2014 09:57
	<input type="checkbox"/> NZF	Client									ACTIVE		24/03/2014 10:14
	<input type="checkbox"/> SFE	Client									ACTIVE		11/04/2014 10:00

The search results pane provides a visual representation of the Client Clearing Account Hierarchy related to the Clearing Participant.

Each row represents a unique record within the Account Hierarchy structure

Colours are assigned to an Outstanding Action for quick identification. The colours applicable against each Outstanding Action status are as follows:

Status	Functional Rule	Colour
Saved	Where the record has a Workflow Status = 'Saved'	Light Yellow
Submitted	Where the record has a Workflow Status = 'Submitted'	Light Orange
Reject	Where the record has a Workflow Status = 'Reject'	Light Red
CP Submitted	Where the record has a Workflow Status = 'CP Submitted'	Light Orange
ASX Rejected	Where the record has a Workflow Status = 'ASX Rejected'	Light Red

The results returned in the search result pane can be either expanded or collapsed to vary the information returned as per the Account Hierarchy.

Clearing Participant			Client Entity		
CP	Ledger	CTI	Code	NP	Capital C Client
<input type="checkbox"/> CXL					
	<input type="checkbox"/> SFE	Client			
			<input type="checkbox"/> MEB		
<input type="checkbox"/> MAE					

A description of the individual search result fields returned is defined below:

Search Results	Description
CP	Returns the Firm code associated with the Clearing Participant User Id
Ledger	Returns the Ledger allocated to the Clearing Participant record. Each Ledger will be displayed on a unique row
Clearing Type Indicator	Indicates the Clearing Type Indicator (Client) assigned to the Clearing Participant & Ledger combination
Client Entity Code	Returns either the Client Entity Code (CPM Client) or Capital C Client (where there is a Nominated Person) or a Nominated Person associated with the

	Participant. When the mouse cursor is hovered over the Client Entity Code, the Name assigned to the Client Entity is returned
NP	Indicator for Nominated Person, can be either Y (when Client Entity has been configured as a Nominated Person) or Blank (where a Client Entity code has been configured as a CPM Client or Capital C Client)
Capital C Client	Returns the Capital C Client where the Client Entity has been configured as a Nominated Person
Client Account Code	Returns each Client Account Code associated with the Client Entity
Client Account Name	Returns the name associated with the Client Account Code
Client Account Type	Returns the Client Account Type (ICA)
Book / Fund Code	N/A
Book / Fund Name	N/A
Status	Returns the individual 'Approval' status associated with each record displayed. In order to view the Approved record, the status will be represented as a hyperlink which can be clicked to open up the page associated with that record
Outstanding Actions	Returns the individual 'Workflow' status and Firm who performed the last update associated with each record displayed. In order to view the Workflow record, the status and User Role will be represented as a hyperlink which can be clicked to open up the page associated with that record. Where a record does not have a Workflow status (i.e. currently in the process of being edited or created), the field will be blank
Last Actioned Date	Returns the last date and time the record was updated or modified.

In order to search for a record where specific search criteria have been appended, use the following steps:

Step	Action	User	Description
1.	Data Entry	Submitter or Approver	Select or enter criteria in the available fields within the Search Criteria pane.
2.	Click 'Search' button	Submitter or Approver	
3.	View Data	Submitter or Approver	Search results will be returned based on the search criteria entered

1.9.4. Viewing and Editing Records

Records exist within the system in either an:

- Approved state or;
- Edited/Workflow state (i.e. where a workflow status is applied)

Either state can be viewed within the system in order to allow a Clearing Participant user to view changes currently being made to a record (where permissions allow) or at the very least allow a Clearing Participant user to observe that changes are being made to a record by another user.

In order to view either record state, the action to do so is initiated via the Record Search page – Search Results pane.

1.9.4.1. Viewing Approved Records

In order to view an Approved record state, the 'Status' column in the Search Result pane will be populated with the Approval status applied to the record.

Clearing Participant			Client Entity			Client Account			Book / Fund		Status
CP	Ledger	CTI	Code	NP	Capital C Client	Code	Name	Type	Code	Name	
<input type="checkbox"/> CXL											ACTIVE
<input type="checkbox"/> NZF	NZF	Client									ACTIVE
<input type="checkbox"/> SFE	SFE	Client									ACTIVE

The approved record can be viewed by clicking the hyperlink in the appropriate records column. This will bring the user to the pages related to that specific record.

Where no 'hyperlink' has been provided, the user does not have access to the record

1.9.4.2. Viewing an Edited Record

Records that are currently in the process of being edited (i.e. have a workflow status appended) can be viewed via the Record Search page.

In order to identify where a record is currently being edited by another user, the 'Outstanding Actions' column in the Search Result pane will be populated with:

- Workflow Status (i.e. Saved, Submitted etc)
- User Role (ASX or Clearing Participant or Client) currently in the process of making the change

Clearing Participant			Client Entity			Client Account			Book / Fund		Status	Outstanding Actions
CP	Ledger	CTI	Code	NP	Capital C Client	Code	Name	Type	Code	Name		
<input type="checkbox"/> CXL											ACTIVE	Rejected - CP
<input type="checkbox"/> NZF	NZF	Client									ACTIVE	
<input type="checkbox"/> SFE	SFE	Client									ACTIVE	

The edited record can be viewed by clicking the hyperlink in the column. This will bring the user to the pages related to that specific record

Where no 'hyperlink' has been provided, the user does not have access to the record currently being edited.

1.9.4.3. View / Editing a record currently in the process of being edited

Where a record is currently in the process of being edited by another User (either an ASX User or Clearing Participant or Client User) other than the user currently editing the record, the user logged into the portal will not be able to edit the production / deployed or edited record.

In order to alert the user to this, a message will be appended to the record

This is currently being edited by ASXUser and the record has been locked.

There will be no option to Save or Submit the record to the system.

**Note:**

An ASX User has the ability to complete the workflow of a Client or Clearing Participant initiated workflow.

In order to commence editing the record again, the user who initiated the edit will need to complete and closeout the workflow associated with the record.

Where a record is not currently being edited, the 'Outstanding Actions' columns will be left blank.

Clearing Participant			Client Entity		Client Account			Book / Fund		Status	Outstanding
CP	Ledger	CTI	Code	Name	Code	Name	Type	Code	Name		Actions
<input type="checkbox"/>	CXL									ACTIVE	

1.9.5. Workflow Approval / Rejection Process

In order to either deploy a new record or changes made to an existing record to the system, the record must be validated and approved by the Clearing Participant Approver.

Similarly, to prevent either a new record or changes to an existing record from being deployed, the record can be validated and rejected by the Clearing Participant Approver. Where a Clearing Participant Approver has rejected a record, a rejection reason **must** be applied to the rejected record.

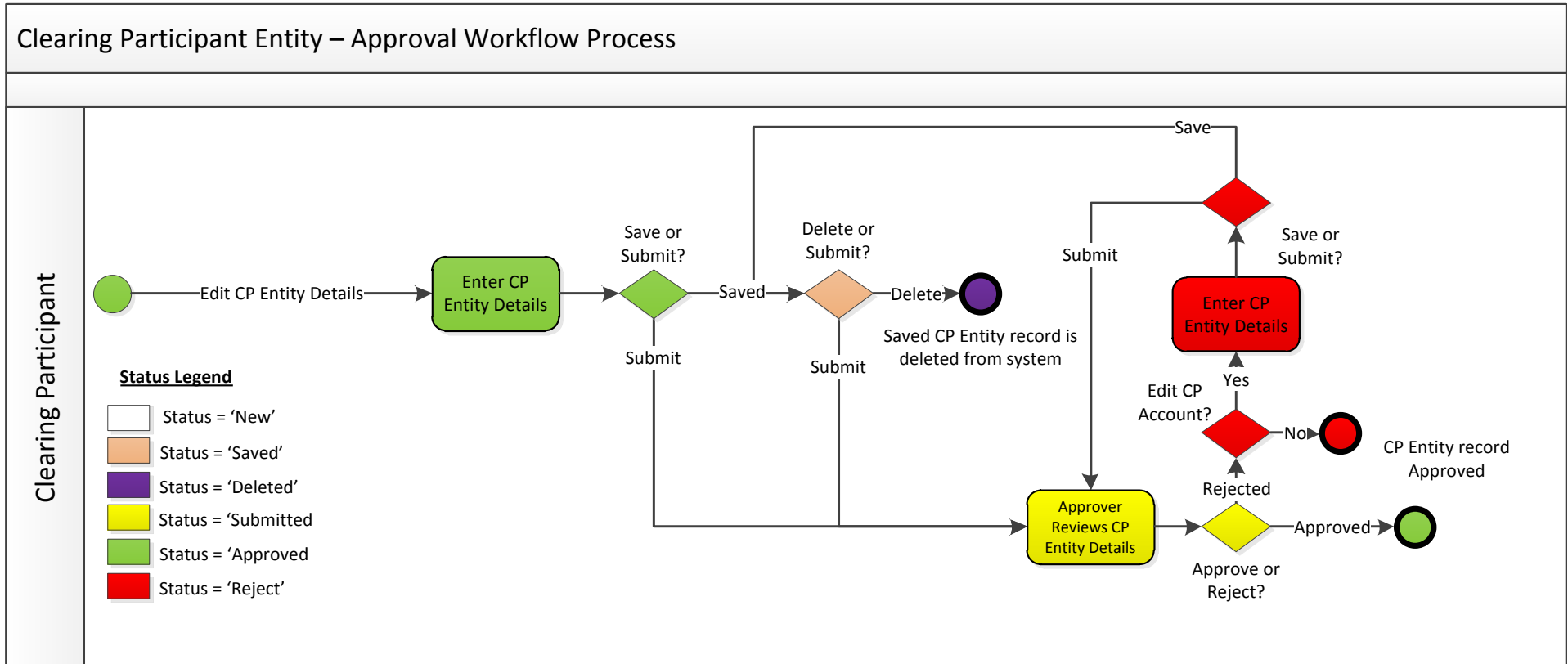
The approval / rejection process follows the 'four eyes' verification principle that requires validation by a second party before changes can take effect within the system.

A user can be both an Submitter and Approver, but the user cannot Approve / Reject their own changes.

The workflow Approval / Rejection process applies to each Entity within the system and varies based on the Entity type and whether the record is either newly created or an edit to an existing record. The following diagrams illustrate the workflow process for each Entity type

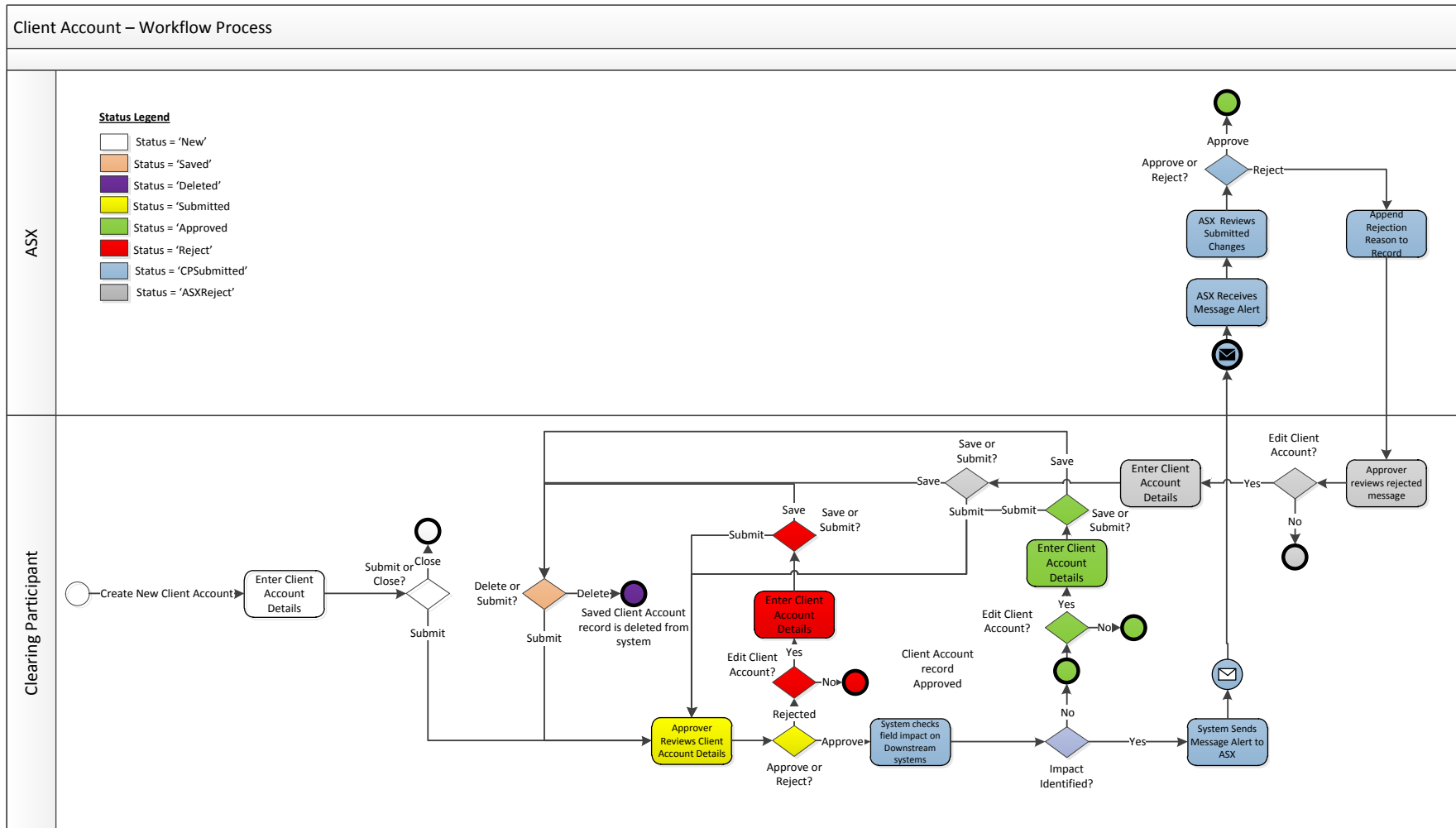
1.9.5.1. Clearing Participant Entity Workflow Approval / Rejection Process

At a high level the following diagram illustrates the workflow associated with approval / rejection associated with an edit of an existing Clearing Participant Entity record. Please note that this has not been differentiated by the Participant user role. Colours identify the workflow status applicable:



1.9.5.2. Client Account Workflow Approval / Rejection Process

At a high level the following diagram illustrates the workflow associated with approval / rejection associated with both the creation of a new and the edit of an existing Client Account record. Please note that this has not been differentiated by the Participant user role. Colours identify the workflow status applicable.



1.10. Clearing Participant Entity Records

Details associated with each Clearing Participant are maintained across a number of pages accessible by a tabbed page design layout



Clearing Participant information is associated with the following tabs:

- Details
- Contacts

1.10.1. Accessing an editing an existing Clearing Participant record

Access to existing Clearing Participant Entity information saved into the Database is via the Record Search page.

Clearing Participant			Client Entity			Client Account			Book / Fund		Status	Outstanding Actions
CP	Ledger	CTI	Code	NP	Capital C Client	Code	Name	Type	Code	Name		
BBB											ACTIVE	

Use the following steps to access the information:

Step	Action	User	Description
1.	Data Entry	Submitter or Approver	On the record search page and within the Search Criteria pane, select the Clearing Participant Code from the drop down list
2.	Click 'Search' button	Submitter or Approver	
3.	View Data	Submitter or Approver	Search results will be returned based on the search criteria entered
4.	Click 'Approval Status' hyperlink	Submitter or Approver	The Approval Status hyperlink will appear next to the Clearing Participant record in the Status column within the Search Results pane. Once clicked the Clearing Participant Entity record will be displayed
5.	Commence editing information against the Clearing Participant Entity	Submitter	The Clearing Participant submitter can commence editing existing information appended against the Clearing Participant

1.10.2. Clearing Participant Entity Details

Clearing Participant details such as name and address information can be found on the Clearing Participant Entity Details tab.

Clearing Participant Entity

ID: 296 Workflow Status: Deployed

Details
Contacts

Clearing Participant Code:	<input type="text" value="CXL"/>
Clearing Participant Legal Name:	<input type="text" value="CXL CP"/>
Exchange:	<input type="text" value="ASX Clear (Futures)"/>
LEI:	<input type="text" value="2332344DSA4"/>
ABN:	<input type="text" value="44 888 999 132"/>
Address:	<input type="text" value="20 Bridge St"/>
	<input type="text"/>
	<input type="text"/>
City / Suburb:	<input type="text" value="Sydney"/>
State:	<input type="text" value="NS"/> ▼
Postcode / Zip:	<input type="text" value="2000"/>
Country:	<input type="text" value="AUSTRALIA"/> ▼

Information that can be amended on this page include the following:

Field	Description
LEI	Legal Entity Identifier of the Clearing Participant
ABN	The Australian Business Number of the Clearing Participant Field is mandatory
Address	The street address of the Clearing Participant. Use multiple lines as appropriate, i.e.: Address Line 1: Level 16, Chifley Tower - Field is mandatory Address Line 2: 2 Chifley Square Address Line 3: [leave blank]

Field	Description
City / Suburb	City / Suburb associated with the street address Field is mandatory
State	Available Australian States where Country has been set to Australia, otherwise the field is hidden where Country is other than Australia
Postcode / Zip	Post Code / Zip associated with the Street Address Field is mandatory
Country	Country associated with the street address Field is mandatory

1.10.3. Clearing Participant Entity Contacts

Contact details associated with the Clearing Participant are captured on the Clearing Participant Entity Contacts tab.

Clearing Participant Entity

ID: Workflow Status: Approval Status:

Details
Contacts

<p>Legal Contact 1</p> <p>Job Title: <input type="text" value="KWY Legal"/></p> <p>First Name: <input type="text" value="Dick"/></p> <p>Last Name: <input type="text" value="Smith"/></p> <p>Phone: <input type="text" value="405678987"/></p> <p>Email: <input type="text" value="KWY@asx.com.au"/></p>	<p>Legal Contact 2</p> <p>Job Title: <input type="text"/></p> <p>First Name: <input type="text"/></p> <p>Last Name: <input type="text"/></p> <p>Phone: <input type="text"/></p> <p>Email: <input type="text"/></p>
<p>Operations Contact 1</p> <p>Job Title: <input type="text" value="KWYOperationContact"/></p> <p>First Name: <input type="text" value="John"/></p> <p>Last Name: <input type="text" value="Dennis"/></p> <p>Phone: <input type="text" value="+ (612) 42456813"/></p> <p>Email: <input type="text" value="KWYOperationContact@asx.com.au"/></p>	<p>Operations Contact 2</p> <p>Job Title: <input type="text"/></p> <p>First Name: <input type="text"/></p> <p>Last Name: <input type="text"/></p> <p>Phone: <input type="text"/></p> <p>Email: <input type="text"/></p>
<p>Contact in Case of Default 1</p> <p>Job Title: <input type="text" value="KWYcontact"/></p> <p>First Name: <input type="text" value="Adam"/></p> <p>Last Name: <input type="text" value="White"/></p> <p>Phone: <input type="text" value="(03) 9874562314"/></p> <p>Email: <input type="text" value="KWYcontact@asx.com.au"/></p>	<p>Contact in Case of Default 2</p> <p>Job Title: <input type="text"/></p> <p>First Name: <input type="text"/></p> <p>Last Name: <input type="text"/></p> <p>Phone: <input type="text"/></p> <p>Email: <input type="text"/></p>

Information that can be amended on this page includes the following:

Field	Description
Legal Contact Job Title	Job Title associated with the Legal Contact 1 and 2 Legal Contact 1 information is mandatory
Legal Contact 1 First Name	First Name associated with the Legal Contact 1 and 2 Legal Contact 1 information is mandatory
Legal Contact 1 Last Name	Last Name associated with the Legal Contact 1 and 2 Legal Contact 1 information is mandatory
Legal Contact 1 Phone	Phone Number associated with the Legal Contact 1 and 2 Legal Contact 1 information is mandatory
Legal Contact 1 Email	Email Address associated with the Legal Contact 1 and 2 Legal Contact 1 information is mandatory
Operations Contact 1 Job Title	Job Title associated with the Operations Contact 1 and 2 Operations Contact 1 information is mandatory
Operations Contact 1 First Name	First Name associated with the Operations Contact 1 and 2 Operations Contact 1 information is mandatory
Operations Contact 1 Last Name	Last Name associated with the Operations Contact 1 and 2 Operations Contact 1 information is mandatory
Operations Contact 1 Phone	Phone Number associated with the Operations Contact 1 and 2 Operations Contact 1 information is mandatory
Operations Contact 1 Email	Email Address associated with the Operations Contact 1 and 2 Operations Contact 1 information is mandatory
Contact in Case of Default 1 Job Title	Job Title associated with the Contact in Case of Default 1 and 2 Contact in Case of Default 1 information is mandatory
Contact in Case of Default 1 First Name	First Name associated with the Contact in Case of Default 1 and 2 Contact in Case of Default 1 information is mandatory
Contact in Case of Default 1 Last Name	Last Name associated with the Contact in Case of Default 1 and 2 Contact in Case of Default 1 information is mandatory

Field	Description
Contact in Case of Default 1 Phone	Phone Number associated with the Contact in Case of Default 1 and 2 Contact in Case of Default 1 information is mandatory
Contact in Case of Default 1 Email	Email Address associated with the Contact in Case of Default 1 and 2 Contact in Case of Default 1 information is mandatory

1.11. Client Entity Records

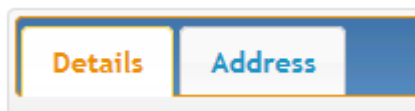
1.11.1. Creating a new Client Entity Record

Client Entity records are set up by the ASX upon request from the CP on behalf of their CPM client. Given some CPM Clients may not wish to disclose details on the form (such as Alternate Clearing Participant) ASX will also accept forms submitted directly by the CPM Client. In order to request a new Client Entity to be set up please request your CPM client to fill out the [Client Entity Configuration form](#) in the Appendix. Also in the same section see the User Guide on how to fill this form out.

Please note: A Clearing Participant user will not have access to the Client Entity record configured by the ASX in the portal.

1.12. Client Account Records

Details associated with each Client Account are maintained across a number of pages assessable by tabbed page design layout




Client Account information is associated with the following tabs:

- Details
- Address

1.12.1. Creating a new Client Account

In order to create a new Client Account record, use the following steps:

Step	Action	User	Description
1.	Click 'Add new Client Account' link in Navigation bar 	Submitter	This link allows a Clearing Participant user to create a new Client Account. Once clicked, the Client Account tabbed page will be presented to the user

The following page will then be presented where a Clearing Participant Code / Ledger combination is required to be appended the Client Account:

Ledger List

 A screenshot of a web interface for creating a client account. At the top, there is a dropdown menu for 'Clearing Participant' with 'MAE' selected. Below this is a table with two columns: 'CP Code' and 'Ledger'. The table contains one row with '149' under 'CP Code', 'MAE' under 'Ledger', and 'SFE' under 'Ledger'. To the right of the table is a blue button labeled 'Create Client Accounts'.

In order to create a new Client Account record, use the following steps:

Step	Action	User	Description
1.	Choose a Clearing Participant Code from the drop down list	Submitter	The Clearing Participant code will be locked to the Clearing Participant Code associated with the user logged into system The list of Ledgers configured under your Clearing Participant code will be returned.

2.	Observe and choose the Ledger the you would like the Client Account to be created under	Submitter	
3.	Click the 'Create Client Accounts' button	Submitter	The Clearing Participant Ledger combination is chosen, by clicking the 'Create Client Accounts' button, the system will display the Client Account Page
4.	Commence appending Client Account Information	Submitter	The Clearing Participant submitter can commence entering information against the Client Account

1.12.2. Accessing and editing an existing Client Account

Access to existing Client Account information is via the Record Search page.

Clearing Participant			Client Entity		Client Account			Book / Fund		Status	Outstanding Actions
CP	Ledger	CTI	Code	Name	Code	Name	Type	Code	Name		
<input type="checkbox"/>	CXL									ACTIVE	
<input type="checkbox"/>	NZF	Client								ACTIVE	
			<input type="checkbox"/>	AMP	Australia ..					ACTIVE	
					CXLA001	CLA_CPS_TD...	ICA			ACTIVE	
					CXLAG001	CLA_CPS_TD...	ICA			ACTIVE	Rejected - ASX
					CXLA1001	CLA_CPS_TD...	ICA			ACTIVE	
					CXLA001	CLA_CPS_TD...	ICA			ACTIVE	

Use the following steps to access and edit the information:

Step	Action	User	Description
1.	Data Entry	Submitter or Approver	Enter search criteria to return a Client Account record
2.	Click 'Search' button	Submitter or Approver	
3.	View Data	Submitter or Approver	Search results will be returned based on the search criteria entered
4.	Navigate to Client Account	Submitter or Approver	Navigate through the Client Clearing Account Hierarchy until the relevant Client Account can be located
5.	Click 'Approval Status' hyperlink	Submitter or Approver	The Approval Status hyperlink will appear next to the Client Account record in the Status column within the Search Results pane. Once clicked the Client Account record will be displayed
6.	Commence editing information against the Client Account	Submitter	The Clearing Participant submitter can commence editing existing information appended against the Client Account

Once saved or submitted, the Client Account code will be automatically generated by the system on a separate page as follows:

New Client Account created

Client Account Code:

DELAA00I

1.12.3. Client Account Details

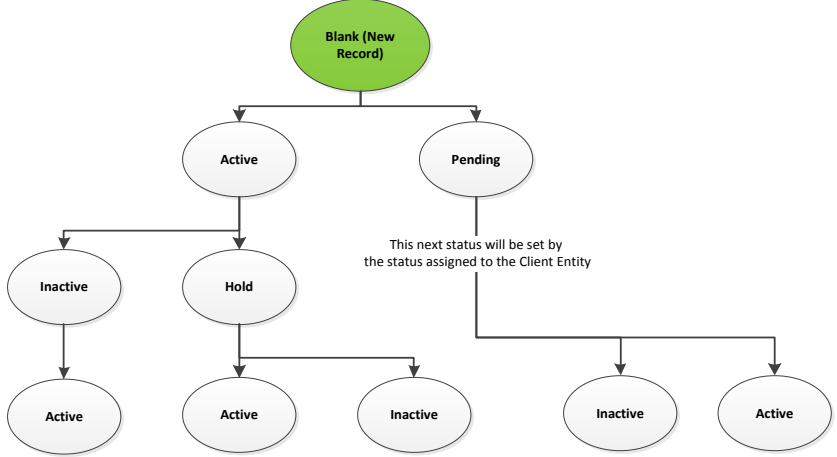
Client Account details such as associated Client Entity, Ledger and Account type etc can be found on the Client Account Details tab.

Client Account

ID:	512	Workflow Status:	Submitted
-----	-----	------------------	-----------

Details	Address
Clearing Participant Code:	CXL
Client Entity Code:	DEL
Client Entity Legal Name:	DEL CE Legal Name
Client Account Code:	DELAA00I
Client Account Name:	DEL 1
Client Account Ledger:	SFE
Clearable Products:	<input checked="" type="checkbox"/> OTC <input type="checkbox"/> Futures
Eligible Products:	Interest Rate Swap
Eligible Currency:	AUD
Role:	Counterparty
Account Type:	ICA
Identity details	
Inherit Details from Client Entity:	<input checked="" type="checkbox"/>
ABN:	
LEI:	
Company Registration Number:	45200000010

Information presented to a Clearing Participant user on this screen includes the following:

Field	Description
<p>Status</p>	<p>The 'Approved' status of the Client Account can be amended.</p> <p>Refer to the following diagram for Approval Status states associated with a Client Account:</p>  <pre> graph TD Blank([Blank (New Record)]) --> Active1([Active]) Blank --> Pending([Pending]) Active1 --> Inactive1([Inactive]) Active1 --> Hold([Hold]) Inactive1 --> Active2([Active]) Hold --> Active3([Active]) Hold --> Inactive2([Inactive]) Pending --> Note[This next status will be set by the status assigned to the Client Entity] Note --> Inactive3([Inactive]) Note --> Active4([Active]) </pre>
<p>Clearing Participant Code</p>	<p>The Clearing Participant code will be set to the Clearing Participant Firm Code and cannot be changed</p>
<p>Client Entity Code</p>	<p>The Client Entity is a drop down list of all of the Clients configured in the system</p> <p>Once the Client Account has been saved into the system, the Client Entity Code cannot be amended</p> <p>This field is not required for a Client Account configured as an Omnibus Account and will be hidden where the 'Omnibus' Account Type has been selected</p>
<p>Client Entity Legal Name</p>	<p>The legal name associated with the Client Entity selected. This field is output only and cannot be changed</p>

Field	Description
Client Account Code	<p>The Client Account code is the unique code associated with the Client Account. The Client Account Code is auto generated by the system for a new record once the record has been saved or submitted</p> <p>The Client Account code is an 8 digit auto generated alphanumeric id which can be broken down into the following components:</p> <p>- Where the Client Account has been configured as an ICA Account (where Segregation Code = I)</p> <p>Client Account Code = <Client Entity Code (3 Character Code)><Account Code (2 Character Code)>00<Segregation Code></p> <p><u>Example:</u></p> <p>Client Entity Code = DEL</p> <p>Account Code = AA (the next ICA Client Account for Client Entity DEL will increment this value to AB)</p> <p>Level 2 Code = 00</p> <p>Segregation Code = I (ICA) ⇒ <u>DELAA00I</u></p> <p>Once generated, the Client Account Code cannot be amended</p>
Client Account Name	<p>The name of the Client Account</p> <p>The Client Account Name cannot be blank</p>
Client Account Ledger	<p>The Ledger will be prepopulated with the Ledger chosen from the previous page. This field is output only and cannot be changed</p>
Clearable Products (OTC & Futures)	<p>Tick boxes that represent whether the Client Account is required for OTC Client Clearing or Futures Client Clearing.</p> <p>Both tick boxes can be ticked which implies that the Client Account is applied across both OTC and Futures Client Clearing</p>
Role	<p>The role will be set to Counterparty and cannot be changed</p>
Account Type	<p>Account Type can be set to:</p> <p>- ICA (Individual Client Account)</p> <p>Please note that Futures Omnibus accounts are not managed within the Static Data Portal and are managed as per the existing process directly through Genium.</p> <p>Once appended, the Account Type cannot be amended</p>

Field	Description
Inherit Details from Client Entity	<p>This tick box will apply the ABN, LEI & Company Registration number fields from the Client Entity to the Client Account</p> <p>Where the Inherit tick box has been ticked, the ABN, LEI and Company Registration Number fields cannot be amended. Any changes that occur at the associated Client Entity will be inherited automatically</p> <p>The Inherit tick box will not be available where the Client Account has been configured as an Omnibus account</p>
ABN	<p>Australian Business Number</p> <p>The ABN can be applied individually where the Inherit Details from Client Entity tick box has not been ticked, or automatically where the Inherit Details from Client Entity tick box has been ticked</p> <p>An ABN or LEI or Company Registration Number is required to be appended against the ICA</p>
LEI	<p>Legal Entity Identifier</p> <p>The LEI can be applied individually where the Inherit Details from Client Entity tick box has not been ticked, or automatically where the Inherit Details from Client Entity tick box has been ticked</p> <p>An ABN or LEI or Company Registration Number is required to be appended against the ICA</p>
Company Registration Number	<p>International Company Registration Number</p> <p>The Company Registration Number can be applied individually where the Inherit Details from Client Entity tick box has not been ticked, or automatically where the Inherit Details from Client Entity tick box has been ticked</p> <p>An ABN or LEI or Company Registration Number is required to be appended against the ICA</p>

1.12.4. Client Account Address

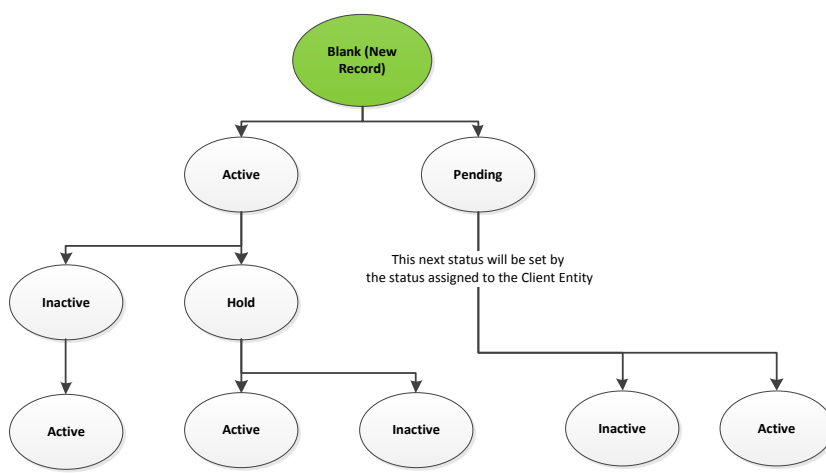
Client Account Address details specifically for the Client Account can be found on the Client Account Address tab.

Client Account

ID: 512 Workflow Status: Submitted

Details	Address
Inherit Details from Client Entity: <input checked="" type="checkbox"/>	
Address:	<input type="text" value="93 Kent Street"/> <input type="text"/> <input type="text"/>
City / Suburb:	<input type="text" value="Perth"/>
State:	<input type="text" value="WA"/>
Postcode / Zip:	<input type="text" value="9001"/>
Country:	<input type="text" value="AUSTRALIA"/>

Information presented to a user on this screen includes the following:

Field	Description
Status	<p>The 'Approved' status of the Client Account can be amended.</p> <p>Refer to the following diagram for Approval Status states associated with a Client Account:</p>  <pre> graph TD Blank([Blank (New Record)]) --> Active1([Active]) Blank --> Pending([Pending]) Active1 --> Inactive1([Inactive]) Active1 --> Hold([Hold]) Inactive1 --> Active2([Active]) Hold --> Active3([Active]) Hold --> Inactive2([Inactive]) Pending --> Inactive3([Inactive]) Pending --> Active4([Active]) </pre>

Field	Description
Inherit Address from Client Entity	<p>This tick box will apply the Address details appended against the Client Entity to the Client Account</p> <p>Where the Inherit tick box has been ticked, the Address fields cannot be amended. Any changes that occur at the associated Client Entity will be inherited automatically</p> <p>The Inherit tick box will not be available where the Client Account has been configured as an Omnibus account</p>
Address	<p>The street address of the Client Account. Use multiple lines as appropriate, i.e.:</p> <p>Address Line 1: Level 3 <Field is required> Address Line 2: 20 Bridge St Address Line 3: [leave blank]</p> <p>The Address can be applied individually where the Inherit Address from Client Entity tick box has not been ticked, or automatically where the Inherit Address from Client Entity tick box has been ticked</p>
City / Suburb	<p>City / Suburb associated with the street address</p> <p>The City / Suburb can be applied individually where the Inherit Address from Client Entity tick box has not been ticked, or automatically where the Inherit Address from Client Entity tick box has been ticked</p> <p>Field is required</p>
State	<p>Available Australian States where Country has been set to Australia, otherwise the field is hidden where Country is other than Australia</p> <p>The State can be applied individually where the Inherit Address from Client Entity tick box has not been ticked, or automatically where the Inherit Address from Client Entity tick box has been ticked</p>
Postcode / Zip	<p>Post Code / Zip associated with the Street Address</p> <p>The Postcode / Zip can be applied individually where the Inherit Address from Client Entity tick box has not been ticked, or automatically where the Inherit Address from Client Entity tick box has been ticked</p> <p>Field is required</p>
Country	<p>Country associated with the street address</p> <p>The Country can be applied individually where the Inherit Address from Client Entity tick box has not been ticked, or automatically where the Inherit Address from Client Entity tick box has been ticked</p> <p>Field is required</p>

2. Contacting Support

2.1. ASX Online Helpdesk Support

Phone: 1800 682 484

Email: participants.online@asx.com.au

2.2. ASX Clearing Operations

Phone: 1800 240 033 or +612 8298 8479

Email: asxclearfutures@asx.com.au

3. Appendices

3.1. Appendix 1 – Registration Form

Registration Form for ASX Clear (Futures) Static Data Portal (Clearing Participant or Client) Administrator user.



Static_Data_Portal_
Registration_Form.pc

3.2. Appendix 2 – Digital Certificate Procedure

To obtain a digital certificate, your Clearing Participant or Client Administrator user must first create the user in ASX Clear (Futures) Static Data Portal as outlined previously.

After the ASX Online Help Desk has pre-registered the certificate, you will receive an email with details on how to enrol. The email will be sent to the email address that has been registered in ASX Online.

Before enrolling and downloading a digital certificate please ensure the following checklist has been followed:

3.2.1. Pre-requisites for Enrolment of a Digital Certificate

- ActiveX Controls set to "Enabled"
- Onsite MSI package installed for Windows XP Operating System.

3.2.2. Download and Installation of the Root Digital Certificate

- Click "Install CA" from the Digital Id Centre site³ to install the CA.
- Ensure above-mentioned CA has been installed to "Trusted Root Certification Authorities".
- During installation, select the format 'My ID for Microsoft Internet Explorer...'
- Download can only occur once, so the user should not delete their digital certificate.

³ Detailed Instructions and URL to install the root CA is provided in the confirmation email.

3.2.3. Enrolment, Downloading and Installation Procedure of the user certificate

The enrolment form is accessed through the Digital ID Centre secure website hosted by VeriSign.

The enrolment website is accessed via:

<https://pki.verisign.com.au/services/ASXOperationsPtyLtd/client/userEnrollMS.htm>.

2. When loading the enrolment page for the first time, you will see a Security Warning dialog for a program digitally signed by Microsoft. This program is required to enrol for a certificate. It is safe to run it on your computer and its authenticity is proved by a digital signature. Click Yes.
3. The following screen is displayed:

ASX | **Enrollment**

[Help with this Page](#)

Complete Enrollment Form

Enter your Digital ID information

Fill in all required fields. Fields marked with an asterisk (*) are included with your Digital ID and are viewable in the certificate's details.

First Name: * (required)
Nickname or middle initial allowed
(Example: Jack B.)

Last Name: * (required)
(example -- Doe)

Your E-mail Address: (required)
(example -- jbdoe@verisign.com)

Passcode: (required)

Challenge Phrase

The Challenge Phrase is a unique phrase that protects you against unauthorized action on your Digital ID. Do not share it with anyone. Do not lose it. You will need it when you want to revoke or renew your Digital ID.

Enter Challenge Phrase: (required)
Do not use any punctuation.

Additional Security for Your Private Key

We recommend that you protect the private key associated with your digital ID. Checking the box below will provide you with security options for your private key. [Click Here](#) for additional information.

Check this Box to Protect Your Private Key

Optional: Enter Comments

In some cases, your administrator will instruct you to enter *Shared Secret* information (known only to you and the administrator) in this field. The administrator uses this shared secret to verify that it really is you submitting the application. This comment will not be included in your Digital ID.

If all the information above is correct, click **Submit** to continue.

Submit **Cancel**

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4. The following fields must be entered exactly as advised by ASX Online Help Desk:

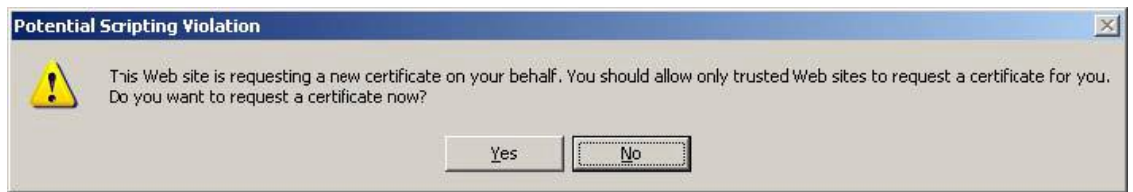
- First Name
- Last Name
- E-mail Address
- Passcode⁴.

⁴ Provided with the confirmation email

5. The only field not case sensitive is the Passcode. The Challenge Phrase is a unique phrase set by the user and not shared with anyone. It might only be needed if a non-Internet Explorer browser is used for downloading the digital certificate or during certificate renewal.
6. You will be requested to specify the level of security for your Private Key. It is recommended that High protection is selected for better private key protection.
7. This popup window appears for confirmation of your e-mail address.



8. If the address is correct, click on OK. The warning window "Web Access Confirmation" appears.



9. If you have confirmed that the web site is authentic, click on "Yes" to request the certificate. The following warning window appears:



10. Click on "Yes" to add the certificate to your computer.
11. After the certificate is successfully installed you should receive a confirmation page

To confirm that the certificate has been successfully installed, open the Internet Explorer browser and click on: \Tools\Internet Options...\Content\Certificates... and check that the expiration date is one year in the future. ASX has configured the following policy relating to the Passcode expiry period and the lockout threshold for invalid entries: The Passcode expiration for enrolment is set to one month from the date of issue. The lockout threshold is set to three attempts. The fourth invalid entry will lockout the registration record and will require the ASX to reset the Passcode for the user.

3.2.4. Exporting / Importing Procedure

As a digital certificate can only be downloaded from the VeriSign website once, this manual outlines the steps to export a digital certificate from one PC to another.

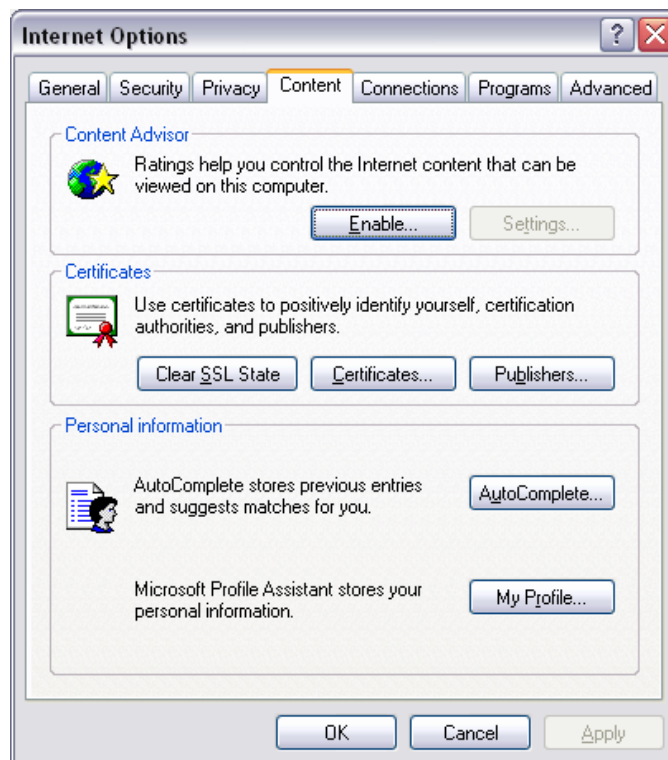
This will be required for Business Continuity Processing/Disaster Recovery (BCP/DR) sites where a certificate will need to be installed on the BCP/DR PC in addition to the normal production PC.

Before importing or exporting a digital certificate please ensure the following checklist has been followed:

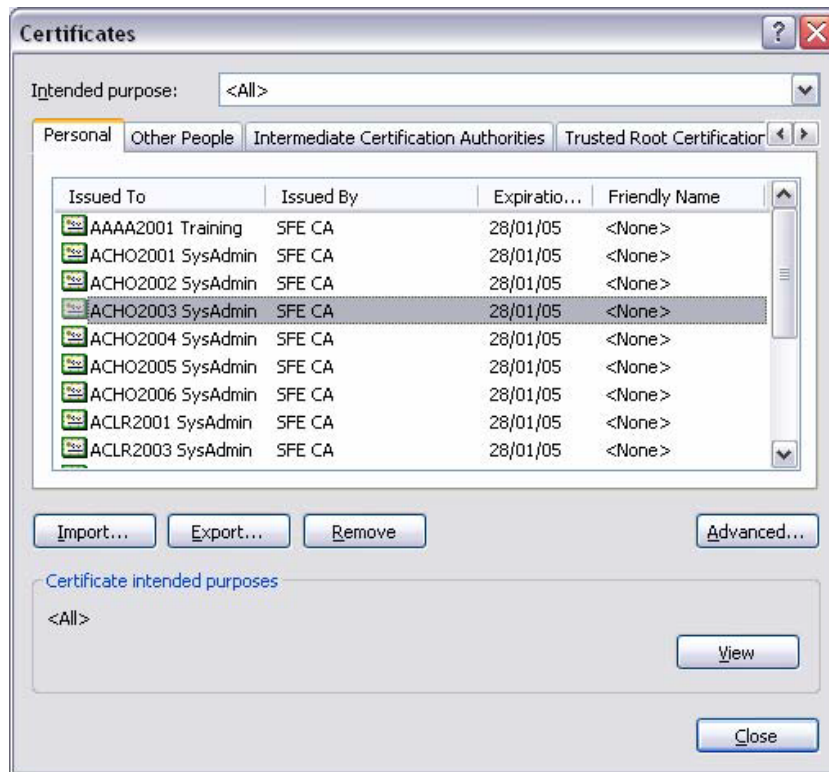
- Private keys must be included in any import or export (i.e. ensure .pfx format is imported/exported, not .cer).
- PKCS#12 format must be used (it is specifically designed for private keys).

3.2.4.1. Exporting a Certificate

1. In Internet Explorer click on Tools, then Internet Options. Select the Content tab and then click in the Certificates button.



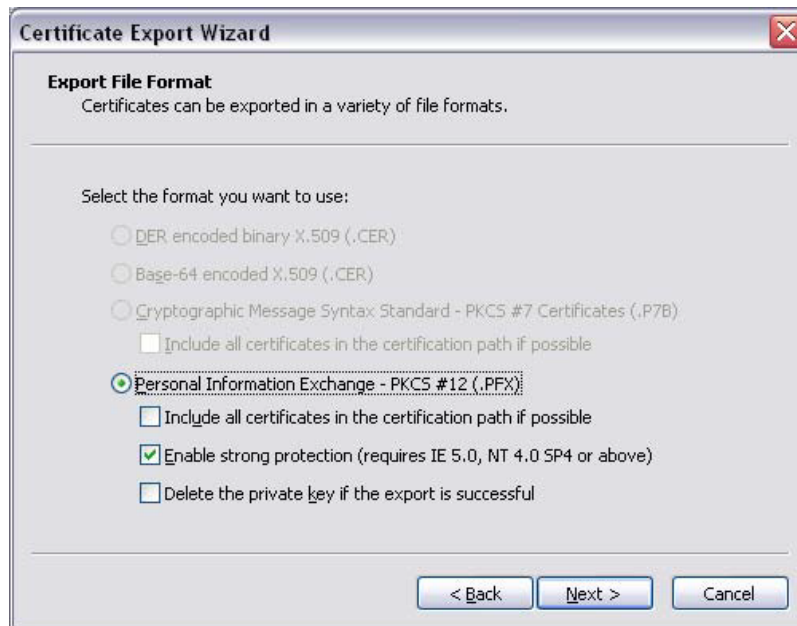
2. In the "Certificates" window select the certificate that you wish to export then click 'Export'.



3. The Certificate Export Wizard window then appears. Ensure that you have checked "Yes, export the private key" then click 'Next' to begin the Export.



4. It is recommended that you Enable strong protection then click 'Next'.
5. You are required to setup a password to protect the private key. This password will be required in order to import the certificate.

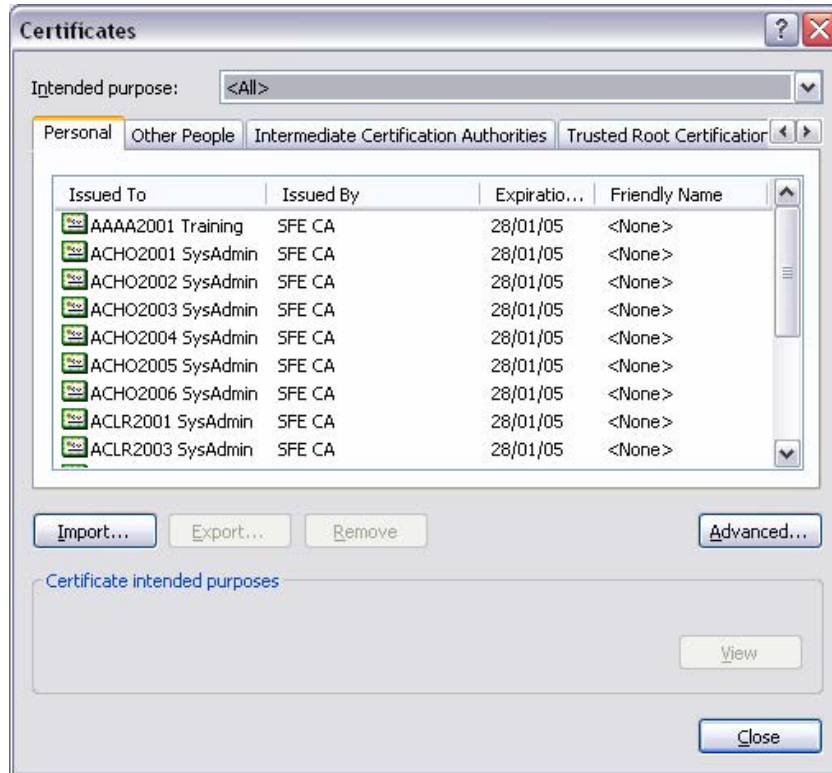


6. Click on the 'Browse' button to select the destination for the export of the certificate.
7. Once this has been confirmed, click 'Next', then click 'Finish'.
8. A confirmation box will appear confirming that the export was successful.

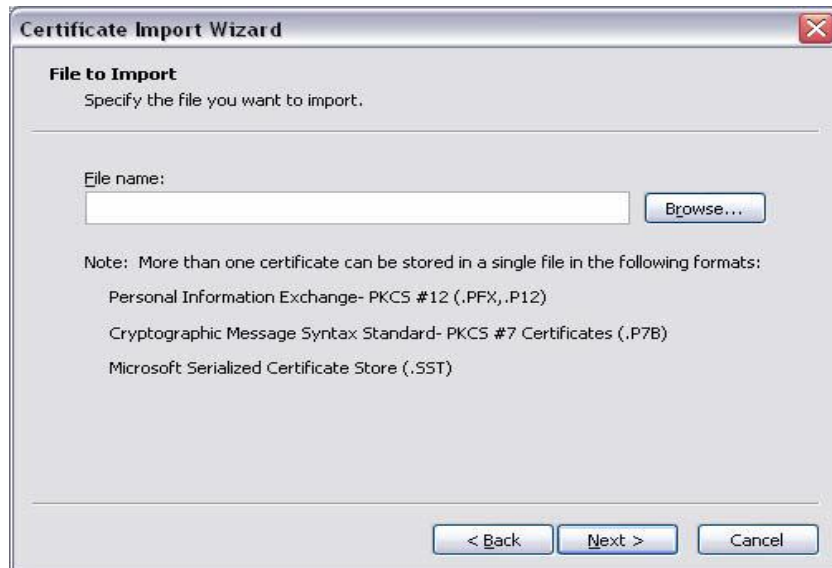


3.2.4.2. Importing a Certificate

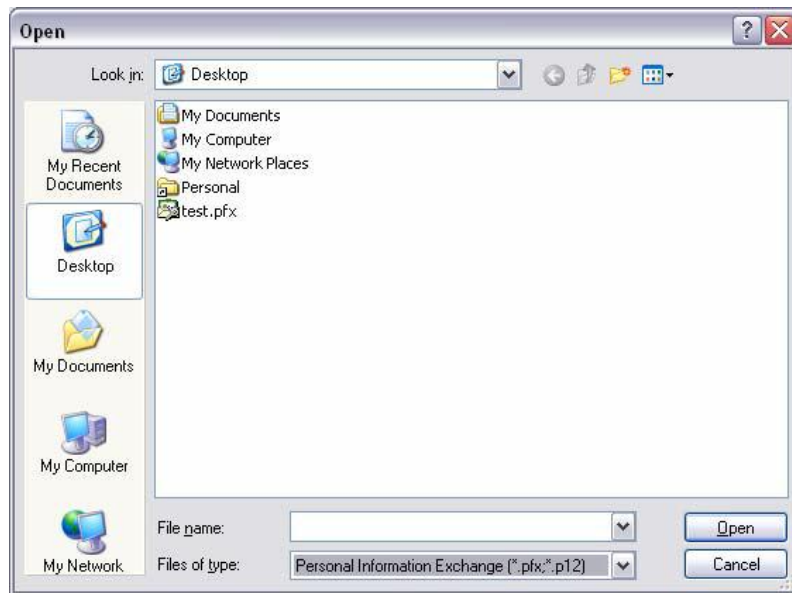
1. In Internet Explorer, Click on the 'Tools' menu, then 'Internet Options'.
2. Select the 'Content' tab and then click on the 'Certificates' button.
3. In the Certificates window, click Import.



4. The Certificate Import Wizard window appears.
5. Please click 'Next'.
6. Click 'Browse' to navigate to the location where the certificate was originally exported to.



7. Please ensure that you change the file type from the default X 509 Certificate to Personal Information Exchange (*.pfx) in the File of Type drop down box.
8. Select the certificate that you wish to import and click 'Open'. Click 'Next' to proceed.



9. You will then be prompted for the password for the private key. This is the same password that was used when exporting the certificate originally. You are required to enter the password for the private key and then click 'Next'.
10. Windows will then allow you to select where you have the certificate stored.
11. Click 'Next' once completed.



12. Click 'Finish' to complete the *Certificate Import Wizard*. A confirmation box will appear confirming that the import was successful.



13. The certificate has now been successfully exported and imported.

3.3. Appendix 3 – Troubleshooting

3.3.1. Browser-related Error Messages

3.3.1.1. *This website only supports Internet Explorer 7, 8 and 9 Issue*

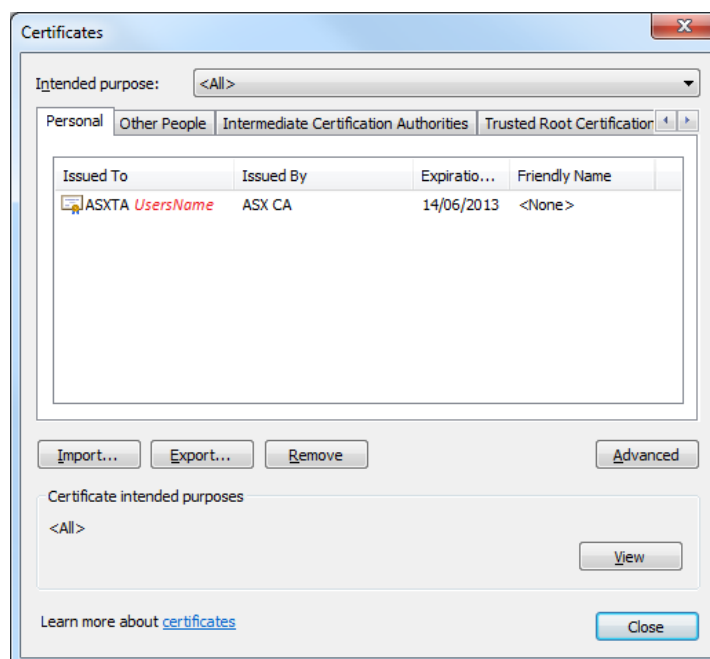
The application will automatically check your browser for compatibility. You will need to try a different browser version if you try to access the site and get the message.

Please note that the current implementation does not support Internet Explorer 6.

3.3.1.2. *HTTP 403 Forbidden Issue*

Why do I get the error message, “HTTP 403 Forbidden”?

This can happen if there is not a valid digital certificate stored on the computer. You can check your certificate in Internet Explorer by going to Tools-> Internet Options -> Content -> Certificates>Personal. The certificate issued should match your login name.

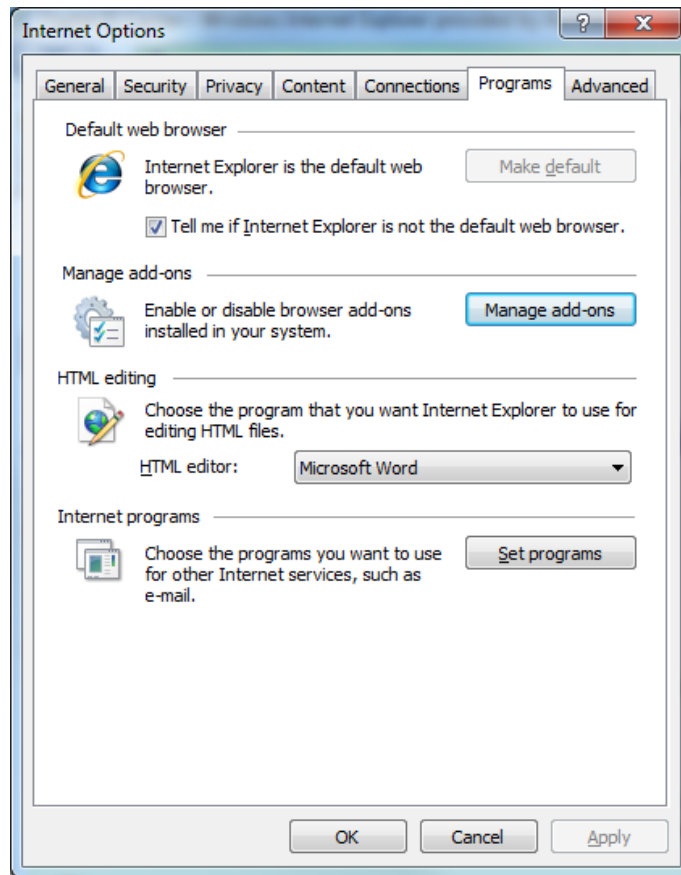


3.3.1.3. *JavaScript Issue*

Why do I get the error message, “JavaScript must be enabled to use this site. Please enable JavaScript in your browser and try again”?

The application checks to see if JavaScript is enabled before it renders the pages in full. If JavaScript is not enabled, you will not be able to enter any data.

It should be possible to enable JavaScript through the 'Internet Options>Programs>Manage add-ons>Toolbars and Extensions' section of your browser. Consult Internet Explorer Help for more information on how to do this for your browser version.



It might be necessary to shut down all instances of Internet Explorer before changes take effect.

3.3.2. Digital Certificate Issues

Most problems and errors that encountered relating to digital certificates occurred during enrolment, download, installation and importing and exporting. If several key pieces of information are known and precautions taken, most of the problems and errors outlined in this document can be prevented.

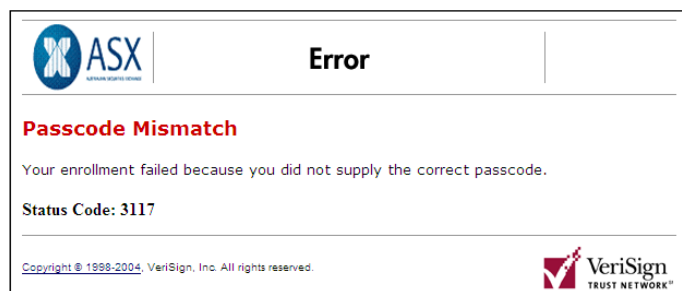
Below is a summary of the key information that can prevent most of the problems and errors occurring.

3.3.2.1. Issues with Enrolment for a Digital ID:

- Ensure Check ActiveX Controls are enabled.
- If operating system is Windows XP, ensure Onsite MSI package is installed.
- Enrolment can only occur once for each passcode, so ensure details are correct. There are five fields which are mandatory to be entered (First Name, Last Name, Your E-mail Address, Passcode and Challenge Phrase). Note that it is not mandatory to check the "Protect Your Private Key" checkbox or to enter comments. During this process, there are three possible errors:

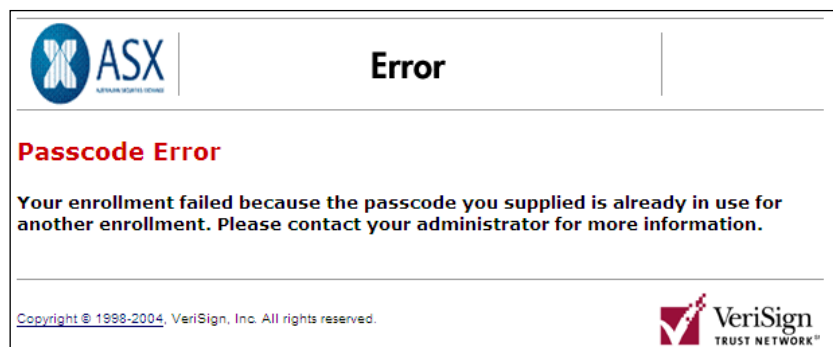
- Incorrect Passcode

If invalid username or passcode is entered, then the following error message will be displayed:



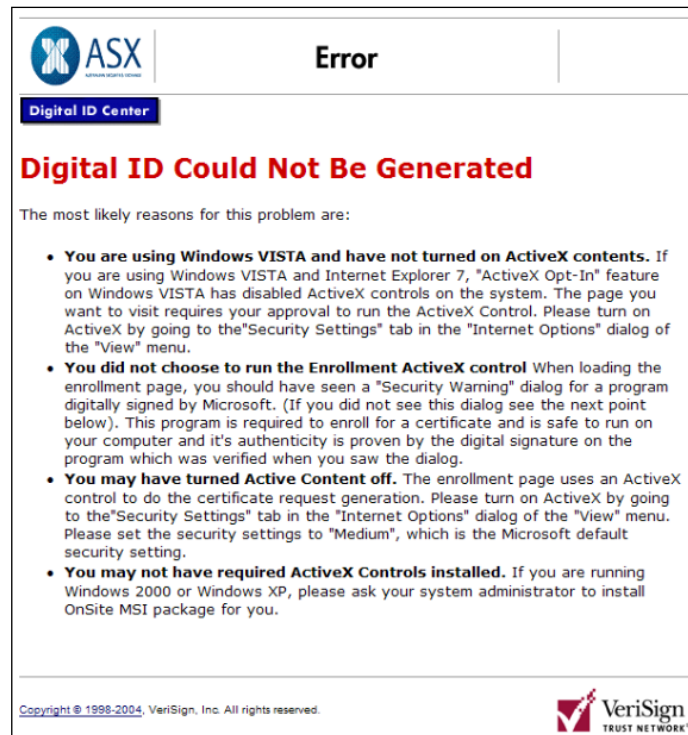
- Passcode "Already In Use"

If the passcode selected has already been used to generate a digital id, then the following error message will be displayed:



- Digital ID Could Not Be Generated

If there is an issue with ActiveX controls for the browser, this error will occur.



This issue may occur on a XP machine that did not have the required ActiveX Controls installed. Installation of the Onsite MSI package resolved this issue and allowed the digital certificate to be downloaded. Please refer to your internal technical support for further information relating to this.

3.3.2.2. **Issues with Download and Installation of a Digital Certificate**

- Ensure user has clicked on "Install CA" from the Digital Id Centre site to install the CA.
- Ensure above-mentioned CA has been installed to "Trusted Root Certification Authorities".
- During installation, select the format 'My ID for Microsoft Internet Explorer...'
- Download can only occur once, so the user should not delete their digital certificate.

3.3.2.3. **Issues with Importing and Exporting Digital Certificates**

- Private keys must be included in any import or export (i.e. ensure .pfx format is imported/exported, not .cer).
- PKCS#12 format must be used (it is specifically designed for private keys).

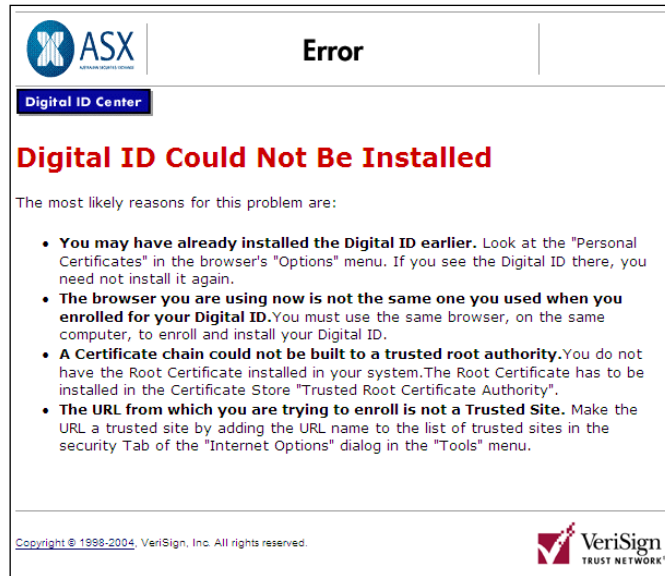
3.3.2.4. **Digital Download and Installation Issues**

Once the user's Digital ID has been generated, it needs to be downloaded and installed on the user's machine. This process is attempted directly after enrolment.

During this process, there are two errors that are possible.

3.3.2.5. **Digital Certificate Could Not Be Installed**

This error occurs for a variety of reasons listed below in the error:



Error

Digital ID Center

Digital ID Could Not Be Installed

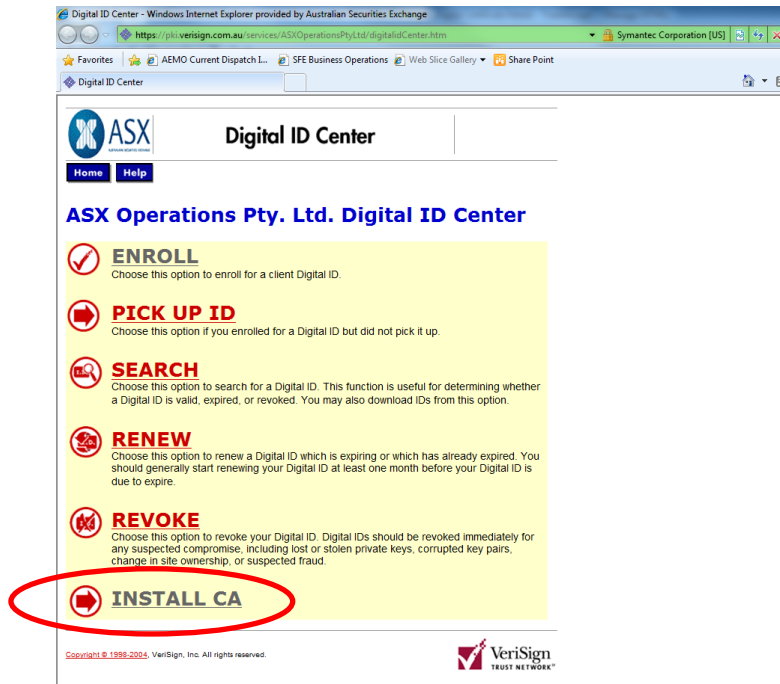
The most likely reasons for this problem are:

- **You may have already installed the Digital ID earlier.** Look at the "Personal Certificates" in the browser's "Options" menu. If you see the Digital ID there, you need not install it again.
- **The browser you are using now is not the same one you used when you enrolled for your Digital ID.** You must use the same browser, on the same computer, to enroll and install your Digital ID.
- **A Certificate chain could not be built to a trusted root authority.** You do not have the Root Certificate installed in your system. The Root Certificate has to be installed in the Certificate Store "Trusted Root Certificate Authority".
- **The URL from which you are trying to enroll is not a Trusted Site.** Make the URL a trusted site by adding the URL name to the list of trusted sites in the security Tab of the "Internet Options" dialog in the "Tools" menu.

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This error occurs because the root certificate has not been installed. By returning to the Digital ID Centre website: <https://pki.verisign.com.au/services/ASXOperationsPtyLtd/digitalidCenter.htm>



Digital ID Center - Windows Internet Explorer provided by Australian Securities Exchange

<https://pki.verisign.com.au/services/ASXOperationsPtyLtd/digitalidCenter.htm>

Digital ID Center

ASX Operations Pty. Ltd. Digital ID Center

ENROLL
Choose this option to enroll for a client Digital ID.

PICK UP ID
Choose this option if you enrolled for a Digital ID but did not pick it up.

SEARCH
Choose this option to search for a Digital ID. This function is useful for determining whether a Digital ID is valid, expired, or revoked. You may also download IDs from this option.

RENEW
Choose this option to renew a Digital ID which is expiring or which has already expired. You should generally start renewing your Digital ID at least one month before your Digital ID is due to expire.

REVOKE
Choose this option to revoke your Digital ID. Digital IDs should be revoked immediately for any suspected compromise, including lost or stolen private keys, corrupted key pairs, change in site ownership, or suspected fraud.

INSTALL CA

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And by clicking on "Install CA", this issue was resolved (note it must be installed in the "Trusted Root Certification Authorities" store, otherwise the issue will not be resolved).

3.3.2.6. ID Format Unselected

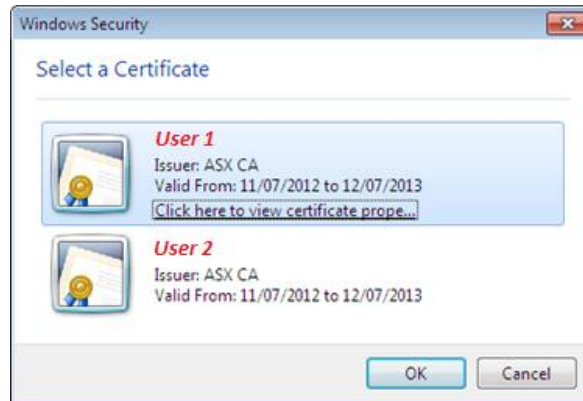
If a user does not select / specify an ID format from the dropdown list, then the following error message is displayed:



3.3.2.7. Using Digital Certificates Issues

After a digital certificate has been installed, it can be used to log into ASX Clear (Futures) Static Data Portal.

Before the ASX Clear (Futures) Static Data Portal website can be opened, it will require the user to select a digital certificate to use as part of authentication. A list of all available digital certificates installed on the user's machine will be available to be selected. In the figure below, two digital certificates are available for selection (*User 1* and *User 2*):

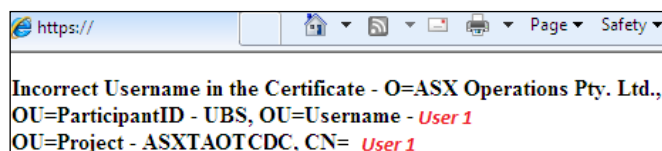


3.3.2.8. Digital Certificate Revoked

An "Incorrect Username in the Certificate" error message will be displayed when a user attempts to log into ASX Clear (Futures) Static Data Portal:

- When their digital certificate has been revoked.
- Using another person's digital certificate.

Below is an example of the error message:



3.3.3. Static Data Portal Access Issues

3.3.3.1. *Cannot view Static Data Portal link on the application Selection Page.*

If the users have valid ASX Online login credentials and valid SSO certificate, they will be able to access the application selection page. However if they have not been enabled for ASX Clear (Futures) Static Data Portal they will not be able to view the access link. For any support regarding Static Data Portal access please contact [ASX Clearing Operations](#).

3.3.3.2. *On Clicking the Static Data Portal link, access denied error is displayed*

If the users can view the Static Data Portal link on the application selection page, they have been enabled for ASX Clear (Futures) Static Data Portal. Access denied message on clicking the Static Data Portal link implies that there is an issue with user's firm access. The user must follow the instructions on the screen.

3.4. Appendix 4 – Client Entity Configuration Form and User Guide



Client Clearing Forms
- Client v0 4.pdf



Client Static Data
Forms User Guide v1.

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