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| Information Classification - Confidential |

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| ASX Trade**FIX Drop Copy Conformance****Pre-Test Checklist**February 2025 |
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1. Who is conducting this test?

|  |  |
| --- | --- |
|  Test Contact Name and Number | Participant/Vendor Name |
|  |  |

1. What application are you testing?

|  |  |  |
| --- | --- | --- |
| Application Name  | Version | Application Details |
| **Type of FIX User** | **User Session (SenderCompID)** |
|  |  | Broker Service Provider (BSP)  |  [ ]  |  |
| Application name and version must match credentials provided within FIX Logon message | Drop Copy  | [ ] Trade Capture Reports[ ] Execution Reports |  |

|  |
| --- |
| Application Details |
| **Participant Type** | [ ] Participant [ ] Software Vendor  |
| **Brief description of Application’s Functionality** |  |
| **Operating System and Version** |  |
| **FIX Engine and Version** |  |

1. When do you plan to test?

Customers have a maximum of 5 continuous business days to complete full test (Self-test and Assisted-test). Tests that run over this period will require a complete re-sit of the conformance test in order to be assessed by ASX.

Please advise below when you intend to conduct your self-test, this test should be completed in one trading session. Times to be provided in Sydney local time:

|  |  |  |
| --- | --- | --- |
| Self-test Date  | Self-test Start Time | Self-test End Time |
|  |  |  |

**Please ensure all activity and message flow on the designated user session is reserved exclusively for conformance testing during the specified self-testing window.**

1. What will you be testing?

To facilitate a timely and efficient assessment and reporting process, ASX asks customers to complete the following table, which specifies the test cases relevant to their conformance test.

There are three options for each test case:

* Mandatory (**M**) – must be attempted and passed.
* Supported Functionality (**SF**) – this case is conditionally mandatory if you intend to support this functionality in production.
* Not Supported (**NS**) – Supported Functionality cases can be set to Not Supported only if this functionality will not be used in production.

Customers must indicate **SF** or **NS** to scenarios marked as **Please Select.** Furthermore, customers must provide a reason for scenarios indicated as **NS.**

| Section | Scenario | Status | Reason (If NS is selected) |
| --- | --- | --- | --- |
| **3.1 Session** |
| [3.1.1](#RANGE!_Toc501533722) | Logon |  M |  |
| [3.1.2](#RANGE!_Toc501533722) | Logout |  M |  |
| [3.1.3](#RANGE!_Toc501533720) | Password Change |  M |  |
| [3.1.4](#RANGE!_Toc501533722) | Sequence Reset |  Please Select  |  |
| **3.2 Reference Data** |
| [3.2.1](#RANGE!_Toc501533724) | Market Definition Request |  Please Select |  |
| 3.2.2 | Trading Session List Request |  Please Select |  |
| [3.2.3](#RANGE!_Toc501533725) | Security List Request |  Please Select |  |
| **3.3 Order Activity (Execution Reports)** |
| 3.3.1 | New Order |  Please Select |  |
| 3.3.2 | Order Modification |  Please Select |  |
| 3.3.3 | Order Fill (Partial/Full)  |  Please Select |  |
| 3.3.4 | Order Cancellation |  Please Select |  |
| **3.4 Trade Confirmation (Trade Capture Reports)** |
| 3.4.1 | Matched Trade  |  Please Select |  |
| **3.5 Trade Reporting (Trade Capture Reports)** |
| 3.5.1 | Trade Capture Report for Single Instrument |  Please Select |  |
| 3.5.2 | Trade Capture Report for Multiple Instruments |  Please Select |  |
| 3.5.3 | Trade Capture Report for Initial Trade Notification |  Please Select |  |
| 3.5.4 | Trade Capture Report for Delayed Trades |  Please Select |  |
| **4. Assisted Tests**  |
| 4.1 | Logon (Application Validation) |  M |  |
| 4.2 | Force Logout and Disable |  M |  |
| 4.3 | Password Expiry |  M |  |
| 4.4 | Message Recovery (Order/Trade) |  M |  |
| 4.5 | Trade Cancellation (Trade Capture Reports) |  M |  |
| 4.6 | Unsolicited Order Cancel |  M |  |
| 4.7 | Security List Update Report |  Please Select  |  |

1. Attestation

I confirm, that by submitting this document, I have read and understood the expectations of the ASX Application Conformance test. I will at all times, throughout my test, adhere to those expectations with special consideration given to ASX Operating Rules and Procedures on acceptable market behaviour.

I also confirm the following:

* The application details provided in this document, specify the application, which will be used to perform the test scripts nominated as applicable to ASX conformance requirements.
* The application and version used in this conformance test will be the same as used in production.
* If upon receiving a ‘pass’ assessment for this application I subsequently alter this application, I understand ASX requires that I re-sit the Application Conformance test as a new, complete, and separate instance.
* The ultimate responsibility of the application is that of the customer and ASX accepts no liability in any impact to the operation and / or integrity of the environment introduced as a result of this application.
1. Who do you send this to?

This checklist should be returned to CTS **no later than 1 business day prior** to the intended test date.
Email: cts@asx.com.au

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