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|  |
| Information Classification - Confidential |

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| ASX Trade**OI Application Conformance****Pre-Test Checklist**August 2021 |
|  |



1. Who is conducting this test?

|  |  |
| --- | --- |
|  Test Contact Name and Number | Firm/Company name |
|  |  |

1. What application are you testing?

|  |  |
| --- | --- |
| Application Name (including version)  | Application Details |
| **Type of User** | **Session/Login Id (1 per protocol only)** |
| **Note:** Application name and version number must match the value passed through in logon function call | OI Order Entry [ ]  |  |
| OI Market Data [ ]  |  |
| OI BSP/Drop Copy [ ]  |  |
| OI Market Maker [ ]  |  |

|  |
| --- |
| Application Details |
| **Developer Name** |  |
| **Phone Number** |  |
| **Participant Type** | Trading Participant [ ]  Software Vendor [ ]  |
| **Brief description of Application’s Functionality** |  |
| **Polling frequency** |  |
| **Concurrent connections** | Yes [ ]  No [ ]  |
| **Has the application been recompiled with the latest API header and library files?****On what date was application last recompiled?** | Yes [ ]  No [ ] Date:\_\_\_\_\_\_\_\_\_\_ |
| * **Compiler/Linker used**
 |  |
| * **Operating System used**
 |  |

1. When do you plan to test?

Customers have a maximum of 5 continuous business days to complete full 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:

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

1. Instruments to be used during testing?

|  |  |
| --- | --- |
| Type of Tests | Instrument Code |
| **Equity** |  |
| **Options/Warrants** |  |
| **Quote Request/Market Maker** |  |
| **TMC** |  |
| **Trade Report** |  |

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 four 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.
* Optional (**O**) - can be skipped if the application does not support this function.
* Not Supported (**NS**) – Optional and Supported Functionality cases can be set to Not Supported only if this functionality will not be used in production.

**O** and **SF** cells can be changed to **NS** by clicking the value in the cell you wish to modify and select **NS** from the drop down list. Customers must provide details as to why they will not attempt the test case.

| Section | Title | Order Entry | Market Data | BSP/DC | Market Maker | Reason  |
| --- | --- | --- | --- | --- | --- | --- |
| [3.1.1](#RANGE!_Toc501533718) | Log on | M | M | M | M |  |
| [3.1.2](#RANGE!_Toc501533719) | Logout | M | M | M | M |  |
| [3.1.3](#RANGE!_Toc501533720) | Password Change | M | M | M | M |  |
| [3.2.1](#RANGE!_Toc501533722) | Broadcast Subscription | M | M | M | M |  |
| [3.2.2](#RANGE!_Toc501533723) | Download required market information utilising delta queries | M | M | M | M |  |
| [3.2.3](#RANGE!_Toc501533724) | Application downloads available partition information | O | O | O | O |  |
| [3.2.4](#RANGE!_Toc501533725) | Sending a UI1 message | M | M | M | M |  |
| [3.2.5](#RANGE!_Toc501533726) | Viewing Trading Session States | M | M | M | M |  |
| 3.3.1 | Equity Order Entry | M |  |  | SF |  |
| [3.3.2](#RANGE!_Toc501533729) | Equity Order Modification | M |  |  | SF |  |
| [3.4.1](#RANGE!_Toc501533731) | Options/Warrants Order Entry | SF |  |  |  |  |
| [3.4.2](#RANGE!_Toc501533732) | Options/Warrants Order Modification | SF |  |  |  |  |
| [3.5.1](#RANGE!_Toc501533734) | Undisclosed Order Entry | SF |  |  |  |  |
| [3.5.2](#RANGE!_Toc501533735) | Undisclosed Order Modification | SF |  |  |  |  |
| [3.6.1](#RANGE!_Toc501533737) | Auction Imbalance Order Entry | SF |  |  |  |  |
| [3.7.1](#RANGE!_Toc501533739) | Iceberg Order Entry | SF |  |  |  |  |
| [3.7.2](#RANGE!_Toc501533740) | Iceberg Order Modification | SF |  |  |  |  |
| [3.8.1](#RANGE!_Toc501533742) | Centre Point Order Entry | SF |  |  |  |  |
| [3.8.2](#RANGE!_Toc501533743) | Centre Point Order Modification | SF |  |  |  |  |
| [3.9.1](#RANGE!_Toc501533745) | Centre Point Block Order Entry | SF |  |  |  |  |
| [3.9.2](#RANGE!_Toc501533746) | Centre Point Block Order Modification | SF |  |  |  |  |
| [3.10.1](#RANGE!_Toc501533748) | Centre Point Sweep Order Entry | SF |  |  |  |  |
| [3.10.2](#RANGE!_Toc501533749) | Centre Point Sweep Order Modification | SF |  |  |  |  |
| [3.11.1](#RANGE!_Toc501533751) | Short Sell Order Entry with SHL condition code | SF |  |  |  |  |
| [3.11.2](#RANGE!_Toc501533752) | Short Sell Order Modification | SF |  |  |  |  |
| [3.12.1](#RANGE!_Toc501533754) | UCP Buy Order Entry | SF |  |  |  |  |
| [3.12.2](#RANGE!_Toc501533755) | UCP Sell Order Entry | SF |  |  |  |  |
| [3.12.3](#RANGE!_Toc501533756) | UCP Trade confirmation | SF |  |  |  |  |
| [3.13.1](#RANGE!_Toc501533758) | TMC Order Creation | SF |  |  | SF |  |
| [3.13.2](#RANGE!_Toc501533759) | TMC Order Entry | SF |  |  | SF |  |
| [3.13.3](#RANGE!_Toc501533760) | TMC Order Modification | SF |  |  | SF |  |
| [3.14.1](#RANGE!_Toc501533762) | Single Order Cancellation | M |  |  | SF |  |
| 3.14.2 | Mass Order Cancellation  | M |  |  | M |  |
| [3.15.1](#RANGE!_Toc501533764) | Quote Request with Volume | SF |  |  | O |  |
| [3.15.2](#RANGE!_Toc501533765) | Market Maker response to Quote Request - Two Sided Price Quotation Entry |  |  |  | M |  |
| [3.15.3](#RANGE!_Toc501533766) | Quote Replacement - Two Sided Price Quotation Entry |  |  |  | M |  |
| [3.15.4](#RANGE!_Toc501533767) | Quote Cancellation - Two Sided Price Quotation Entry |  |  |  | M |  |
| [3.16.1](#RANGE!_Toc501533769) | Set Market Maker Protection Parameters |  |  |  | SF |  |
| [3.16.2](#RANGE!_Toc501533770) | Handle Quotes deleted as a result of Market Maker Protection |  |  |  | SF |  |
| [3.17.1](#RANGE!_Toc501533772).1 | Enter One Sided Trade Report (MO75) | SF |  |  | SF |  |
| [3.17.](#RANGE!_Toc501533773)1.2 | Enter Two Sided Trade Report (MO76) | SF |  |  | SF |  |
| [3.17.](#RANGE!_Toc501533773)1.3 | Enter an Initial Trade Report (MO76) | SF |  |  | SF |  |
| [3.17.](#RANGE!_Toc501533773)1.4 | Enter Combination Trade Report (MO77) | SF |  |  | SF |  |
| [3.17.2](#RANGE!_Toc501533773).1 | Trade Report Rejection - Invalid Condition Code | SF |  |  | SF |  |
| [3.17.2](#RANGE!_Toc501533773).2 | Trade Report Rejection - Invalid Price | SF |  |  | SF |  |
| [3.17.2](#RANGE!_Toc501533773).3 | Trade Report Rejection - Invalid Instrument | SF |  |  | SF |  |
| [3.17.3](#RANGE!_Toc501533774) | Trade Report Cancellation | SF |  |  | SF |  |
| [3.17.4](#RANGE!_Toc501533775) | Short Sell Trade Report Entry | SF |  |  |  |  |
| 3.18.1 | Order Reject Handling | M |  |  | M |  |
| [4.](#RANGE!_Toc501533778)1 | Account Disable | M | M | M | M |  |
| [4.2](#RANGE!_Toc501533779)  | Password Expiry | M | M | M | M |  |
| [4.](#RANGE!_Toc501533780)3 | News and Text Messages | O | O | O | O |  |
| [4.](#RANGE!_Toc501533782)4  | Market Data Validation | SF | M | SF | SF |  |
| [4.](#RANGE!_Toc501533783)5 | Processing/handling of price limit updates | SF |  | O | SF |  |
| [4.](#RANGE!_Toc501533784)6 | Order Recovery | M |  | M | M |  |
| [4.](#RANGE!_Toc501533785)7 | Handling of purged orders | M |  | M | M |  |
| [4.](#RANGE!_Toc501533786)8 | Validate Trades in Applicable Markets | M | SF | M | M |  |
| [4.](#RANGE!_Toc501533787)9 | Trade Recovery | M | SF | M | M |  |
| [4.](#RANGE!_Toc501533788)10 | Trade Cancellation | M |  |  | M |  |
| 4.11 | Cancel on Disconnect | SF |  |  | SF |  |

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.

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