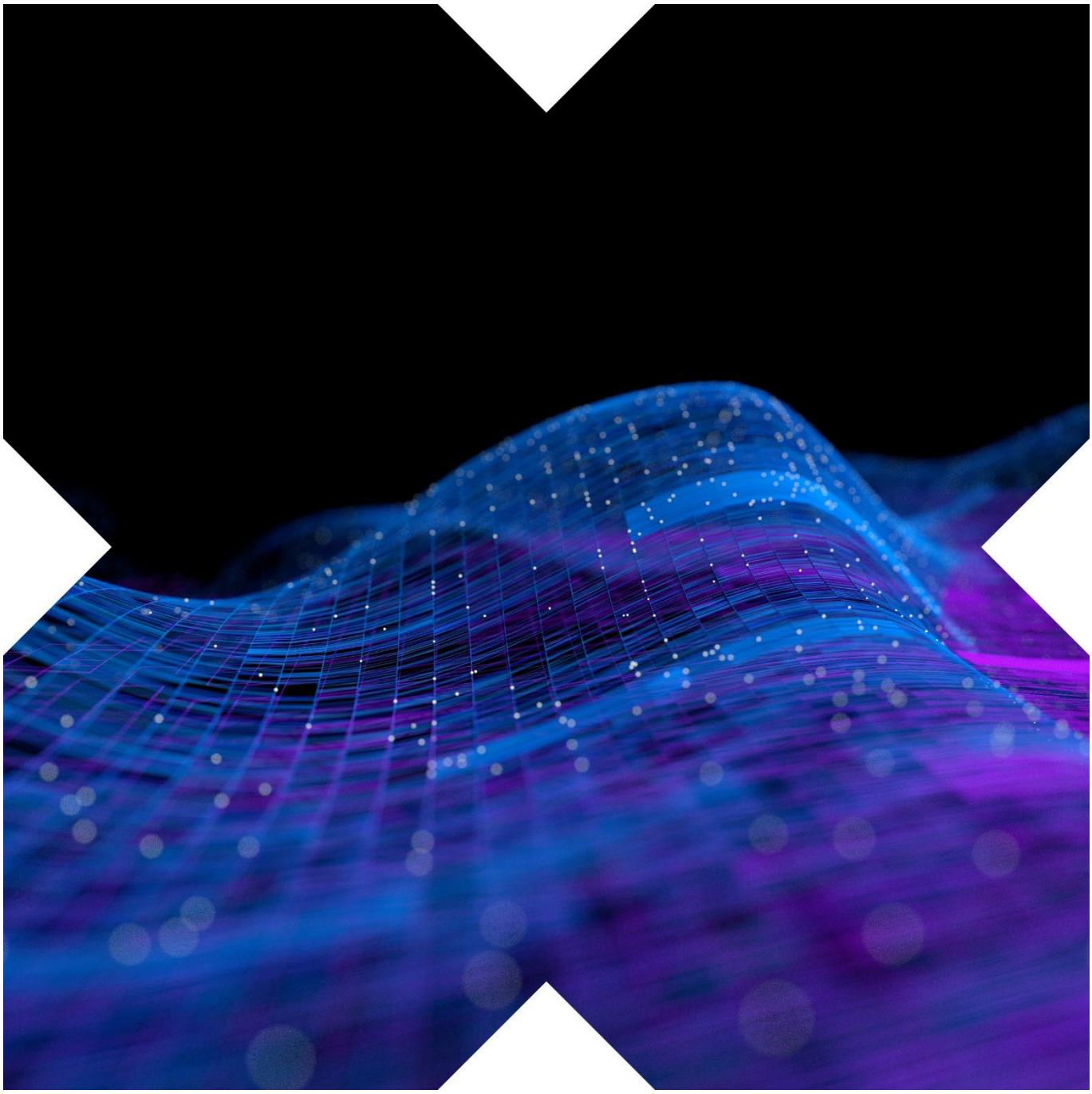
# CHESS External User Testing Guidelines

## Post CHESS Release 1



**Version:** 2.0 **Updated:** March 2026

# Contents

## Version History

Updates and revisions are documented below.

| Version | Date | Comments / Change Log |
|---|---|---|
| 1.0 | June 2017 | Initial *CHESS External User Testing Guidelines* published for UAT (XP1 and XP2) Environments. |
| 1.1 | July 2017 | Updated *CHESS External User Testing Guidelines* published for RTE Environment. |
| 2.0 | March 2026 | Restructured for Release 1 CHESS (Clearing Services), combining XP1 and RTE Test Environments. |

# 1. Overview

## 1.1. Purpose of the guide

The purpose of the CHESS External User Testing Guidelines (the/this Guide) is for ASX Clear Pty Limited and ASX Settlement Pty Limited (ASX) to provide the intended audience a guide to testing scenarios that occur in Production in the CHESS External User Testing Environments ('CHESS test environments').

This document is designed to provide details regarding process and tooling specific to the CHESS test environments, where usage may differ to Production and therefore will not be included in the CHESS Technical Documentation, Specifications, and Guidelines.

This document reflects changes to the CHESS test environments arising from CHESS Release 1.

## 1.2. Supporting materials

All testing should be undertaken in conjunction with referencing the following CHESS Technical Documentation, Specifications and Guidelines which are available from www.asxonline.com:

- External Interface Specification (EIS) manual
- ASX Settlement Procedure Guidelines (APG)
- AMO User Technical Documentation – for AMOs.

## 1.3. Intended Audience

The target audience for the Guide is business analysts, software developers, testers, project managers, and stakeholders from CHESS customer organisations who are either connected to CHESS in production or are building software to connect to CHESS in production that need perform CHESS testing or regression testing activities:

- AMOs
- Market Participants
- Registries
- Payment Providers.

## 1.4. Test Environment Overview

Users connect to and interface with the External test environments in the same manner as they will or do connect to CHESS in the production environment (or for Software Vendor, the way their software users will connect in Production).

AMOs connect to the relevant test environment's Trade Acceptance Service (TAS) through the CHESS FIX Gateway to report trades to the Release 1 Clearing Service (the Clearing Service). The Clearing service is integrated with the Settlement and Subregister services (referred to as 'Current CHESS'), and all CHESS users, connect to the Settlement and Subregister Services via the CHESS External Interface to transmit and receive External Interface Specification (EIS) messages.

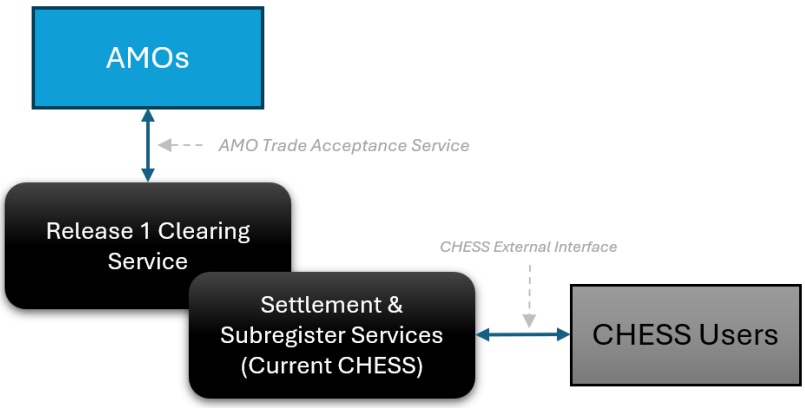



*Figure 1 – Test Environment Overview*

## 1.5. Testing Segregation

To enable segregated and controlled testing, specific data for testing purposes is allocated to each CHESS user. Most data segregation is identified in a CHESS user's Test Kit.

CHESS users are allocated multiple Participant Identification (PID) numbers to nominate as counterparties when they submit trades or multiparty workflow requests.

AMOs are provided a separate list of PID numbers to complete their testing of Trade Reports against, ensuring that the resulting Clearing and Settlement messages do not impact the testing of other CHESS users.

## 1.6. AMO Customer Test Environment Integration

AMOs may choose to connect their customer test environment(s) to a CHESS test environment to enable end to end testing of trades and settlements commencing from customer-initiated orders matched in their orderbooks. Where this occurs, AMOs have been requested to implement controls to limit instruments that are reported to CHESS test environments, so that they do not result in excessive volumes being reported to CHESS. The instruments AMOs will report to CHESS when their customer test environments are connected are available in section 10.3 Attachments.

## 1.7. Test Tooling & support

### 1.7.1. Automatic Turn Around Processor

To support CHESS user testing, an Automatic Turnaround Processor is provided to immediately respond to dual entry messages. Details on what data is required to be submitted on a message to invoke the Automatic Turnaround Processor is outlined in section 10.1 Automatic Turnaround Processor Requirements.

### 1.7.2. Trade Files

To support CHESS user creation of CHESS test environment settlement obligations, replicating what an AMO would transmit to the TAS in production, a Test Trade File Upload Tool is available. Initially to support the CHESS Release 1 transition, CHESS users will be able to email a specific trade file template to CHESShelp@asx.com.au to generate Settlement Obligations, MT164 Trade Notifications, and MT116 Trade Cancellation messages.

The Test Trade File Template has changed as part of CHESS Release 1 and users are required to use the new template available in Appendix 10.3 Attachments.

The Trade File Upload tool will soon transition to a new SFTP automated service, where the same Trade File Template will be automatically picked up and processed from a user's specified SFTP account and folder location. At this time, the email support of processing these Trade Files will be discontinued and all users will be expected to connect to and use the SFTP service to submit trade files for the CHESS test environments. Details relating to this transition, including specifications and timeframes will be provided in due course.

**Note:** Some users may be connected to the old SFTP Trade File Upload service as a result of testing activities in CHESS Release 1 Clearing Regression testing. This SFTP service will continue to operate and report trades to the ITE1 and RTE Test Environment until the new SFTP service is deployed. Other users may request to connect to this SFTP service by emailing CHESShelp@asx.com.au however, all users of this service will need to transition to the new SFTP service when it becomes available.

### 1.7.3. ASX Assistance

Users will need to request the generation and transmission of CHESS Messages that are normally initiated in production by ASX by emailing CHESShelp@asx.com.au. Information required by CHESS for each request are outlined as relevant throughout this Guide.

## 1.8. Environment limitations

Message Volumes - The CHESS test environments have been designed to support functional testing only. Performance Testing in the CHESS test environments are not permitted, and CHESS users are requested to keep daily messaging volumes below 5000 test trades per organisation per day.

AMOs are similarly requested to implement controls to manage trade volumes reported to CHESS test environments, which ASX will coordinate bilaterally with AMOs as required.

Available Instruments – Differences currently exist in the CHESS Test environments with respect to instruments configured to be available in the Clearing Service versus instruments configured to be available in the Settlement and Subregister Service. For successful end to end testing, instruments must be configured in both environments for all workflows to successfully complete.

- Trades and Clearing – Trades will be accepted if the instrument is configured in the Clearing Service, resulting in an accepted FIX message Acknowledgement sent to AMOs / users of the Test Trade File Upload Tool. If the instrument is not configured in the Settlement and Subregister Service, then no resulting EIS messages or their associated workflows will be generated. For this reason, users are requested to limit their Trade and Clearing testing to instruments listed in the 'CHESS Supported Instruments for Testing Trades' list, available in Appendix 10.3 Attachments,
- Settlement and Register – For non-trade related Settlement and Subregister testing, any instrument configured in the Settlement and Subregister service can be used. Instruments configured in the Settlement and Subregister environments are generally aligned to the following:
  - RTE (pre-production environment connected to the ITE01 Clearing Service) – instruments available in production circa 2018
  - XP1 (pre-production environment connected to the IPS01 Clearing Service) – instruments available in production circa 2026.

## 1.9. Expected usage guidelines

Users of the CHESS test environments are expected to:

- Only submit EIS messages and Test Trade Files which nominate counterparty PIDs allocated in Test Kit
- Use Instruments listed in the 'CHESS Supported Instruments for Testing Trades' List, available in Appendix 10.3 Attachments, when testing the reporting of, end to end workflows of Trades.
- Do not share Test Kit with other organisations – Each organisation should have their own Test Kit(s)

- Adhere to the daily volume limitations listed in section 1.8 Environment limitations.

## 1.10. Environment Access and Test Kit Applications

Applications to connect to a CHESS test environment and obtain a Test Kit can be requested by emailing CHESShelp@asx.com.au

Recommended email subject: CHESS Testing / Organisation Name / Test Environment Access Request

## 1.11. Support

For support relating to industry testing matters outlined in this Guide, users are requested to submit their queries and requests to: CHESShelp@asx.com.au

Recommended email subject: CHESS Testing / Organisation Name / Test Kit AIC <Insert AIC if Available> / <Insert Request Topic>

Requests for support can be submitted 24 hours a day. Queries will be addressed during business days between the hours 09:00 – 17:00pm (AET).

**Note**: Corporate Action Event Files / requests must be submitted no later than 11:00 am AET the day prior to Ex date to meet processing cut off times.

# 2. Test Environments

## 2.1. Environment Construct

The integration and operating model of CHESS has been designed to facilitate the transition away from current CHESS to the CHESS Project solution over two major releases:

- **2026 – Release 1** replacing/replaced the clearing component of CHESS and introducing Financial Information eXchange (FIX) messaging for trade registration and pricing for all AMOs.

This Guide reflects the CHESS operating model for CHESS test environments post the CHESS Release 1 deployment

- **2029 – Release 2** will replace the settlement and subregister functionality of CHESS, deliver improved corporate action functionality and make further enhancements to clearing. It will also introduce global standard ISO 20022 messaging interfaces for Participants, Share Registries and Payment Providers.

The current CHESS test environments outlined in this Guide will be retired and new CHESS Release 2 test environments will made available as part of CHESS Release 2 go-live activities.

The CHESS operating model includes two main services:

- Clearing Service – delivered as part of CHESS Release 1
- Settlement and Subregister Services – the original CHESS solution, without the original Clearing Service which has been replaced.

## 2.2. Code Bases & Purpose

Two CHESS External User Testing Environments exist, enabling external testing of:

- The current CHESS production code base at all times, and
- The next release of the CHESS production codebase prior to production deployment (generally available approximately one month before production deployment is scheduled). This environment will operate on the current CHESS production code base when the next release is on yet scheduled and/or available.

### 2.2.1. Production Codebase – XP1 + IPS01

The purpose of the Production Codebase External User Testing environment is to provide an environment for external users to build, and regression test their own software/software changes. It comprises of the following services:

- XP1 – The settlement & subregister service CHESS users connect to where they can send and receive EIS messages
- IPS01 – The Release 1 Clearing Service where CHESS user can construct and use the SFTP service to transmit Trade Files for processing and generation of resulting Settlement Obligations.

### 2.2.2. Pre-Production Codebase – RTE + ITE01

The purpose of the Pre-Production codebase External User Testing Environment is to provide an environment for external users to regression test CHESS changes made by ASX prior to their production deployment.

It comprises the following services:

- RTE – The settlement & subregister service CHESS users connect to where they can send and receive EIS messages
- ITE01 – The Release 1 Clearing Service where:
  - AMOs may test trade and price report messages transmitted from their test environments, and
  - CHESS users can construct and use the SFTP service to transmit Trade Files for processing and generation of resulting Settlement Obligations.

## 2.3. Environment Availability

The CHESS External User Testing Environments are available from 7:00 – 19:30 AET (Sydney time).

- Clearing Service (AMO Trade Acceptance Service): 7:10 – 19:00 AET.
- Settlement process commences at 12.00, and End of Day (EoD) commences at 19:30 AET.
- Trade File Upload Tool SFTP: 7:00 – 17:00 AET

Should any issues be identified with EoD processes, they will be investigated and actioned the following business day.

## 2.4. Future Changes

The CHESS Test Environments are expected to change as a part of CHESS Release 2 go live activities. Users will be required to reconfigure their connections to interface with the new environments when they are available. Further details will be communicated to users through CHESS Release 2 communications.

# 3. Channels

The channels below are available for connecting to the CHESS External User Testing Environments:

| Channel | User | Purpose |
|---|---|---|
| FIX | AMOs | AMOs and their Software Providers can communicate with the Trade Acceptance Service by establishing a FIX session and transmitting FIX messages through the FIX Gateway. Primary and an optional Auxiliary endpoint is available. |
| Alternate File Ingestion Interface SFTP | AMOs | The BCP Trade and Price message transmission tool in the event AMOs are unable to connect to the FIX Gateway |
| EIS | CHESS users: Clearing & Settlement Participants, Settlement Only Participants, Share Registries, Payment Providers, and their Software Providers | Software Providers and CHESS users can communicate with CHESS by sending and receiving EIS messages over the CHESS external interface |
| Test Trade File Upload Tool SFTP | CHESS Users | Initially supported by email, Software Providers and CHESS users will be able to regularly upload test trade records to CHESS Release 2 test environment(s) using a Secure File Transfer Protocol (SFTP) solution to seamlessly<br>create clearing and settlement obligations and their associated messages (not available in production).<br>**Note**: The Test Trade File Upload Tool requires users to complete the new Test File Temple which is available in Appendix 10.3 Attachments. |

# 4. Network & Connectivity

## 4.1. AMO Connectivity to the ITE01 FIX Gateway

AMOs will need to complete the activities required in the CHESS Release 1 Connectivity Guide to connect to the FIX Gateway in ITE01. AMOs should contact CHESShelp@asx.com.au if a new connection to a CHESS test environment is required.

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment Access |
|---|

## 4.2. CHESS User Connectivity to RTE + XP1

### 4.2.1. IP Address and Ports

Upon processing of the Application process, ASX will generate a Test Kit containing UICs for use during the Clearing Regression phase. In addition to the allocated UICs, users will need to configure their test environments to connect to the nominated CHESS test environment using the following information:

| Configuration Item | RTE Details | XP1 Details |
|---|---|---|
| CHESS Test UIC: | 00044 | |
| Port: | 4206 | 4207 |
| IP Address: ASX Net | 203.4.179.23 | |

### 4.2.2. Encryption & security keys

Encryption is not required in the CHESS test environments. Each Test Kit will allow users to connect with or without encryption. To test with encryption, the following security keys should be used:

| Type 1 Keys | | KVC |
|---|---|---|
| Shipping Key | 774E 1195 C539 93F5 CF09 28D1 909F 5F6F | 6D80E2 |
| MKX | B368 05F0 7581 D2E1 3C5A 4DBB 73EF 1268 | 8CB175 |
| MKY | EB93 9A5B 8E23 7EC5 95E7 8410 E9D1 839F | 8D5651 |

| Type 2 Keys | | KVC |
|---|---|---|
| Shipping Key part 1 | C280 912A 20DA 1375 68B5 0E4A 0485 F8D0 | 255AF8 |
| Shipping Key part 2 | B5CE 80BF E5E3 8080 A7BC 269B 941A A7BF | 184929 |
| MKX | B368 05F0 7581 D2E1 3C5A 4DBB 73EF 1268 | 8CB175 |
| MKY | EB93 9A5B 8E23 7EC5 95E7 8410 E9D1 839F | 8D5651 |

| Type 3 Keys | | KVC |
|---|---|---|
| Shipping Key part 1 | C280 912A 20DA 1375 68B5 0E4A 0485 F8D0 | 255AF8 |
| Shipping Key part 2 | B5CE 80BF E5E3 8080 A7BC 269B 941A A7BF | 184929 |
| MKX | 39BF 9149 2392 A36B 0DFA EABC 2632 FAB3 | |

| Type 3 Keys | | KVC |
|---|---|---|
| MKY | 155B 9098 D000 A1E4 83AB B626 385C 532E | |

## 4.3. SFTP Connectivity (Trade File Upload Tool)

The Trade File Upload tool enables users in the CHESS Test environments to initiate and inject trade capture and cancellation messages into the Clearing Service, without the need for coordinating the required trades to generate these messages through an AMO. Users can create the relevant trade notification and cancellation messages needed for testing by their software for every permutation of trade condition or basis of quotation that they require to test.

### 4.3.1. Secure File Transfer Protocol (SFTP) Automation

SFTP provides end to end encryption of data between the SFTP client and server. Authentication to the SFTP server will require the creation of SSH keys that are registered in the SFTP server.

ASX collects unprocessed files from users **Upload** SFTP folders approximately every 5 minutes during scheduled hours of operation and transforms them into a FIX format for processing by the Clearing Service.

### 4.3.2. Requesting SFTP Access

Users will be requesting access to the SFTP in the CHESS test environment as part of their Application Form.

Users will need to provide ASX:

- public IP address
- a public SSH key.

The user's public IP address must be provided. The public IP address will in most cases be the customer's firewall/router NAT address that they will pass through to the ASX SFTP Service.

### 4.3.3. Authentication – Generating SSH Keys

The SFTP service utilises SSH public and private key combinations for secure access.

The requestor generates the SSH key combination. The SSH private key is retained by the requestor and the public SSH key is provided to ASX. ASX requires ED25519 or 2K/4K RSA SSH2 keys.

An SSH key combination can be used by more than one account. The key provides security for connection to the SFTP without the need to manually input a password.

To generate ED25519 algorithm based SSH keys:

| | |
|---|---|
| In Windows command prompt or Power Shell | Run command:<br>ssh-keygen -t ed25519 -C "Your_Application_DL@example.com"<br>The generated private key (usually id_ed25519) and public key (usually id_ed25519.pub) will be in the C:\Users\<YourUserName>\.ssh directory.<br>**Note**: Participants will need to install Git-Bash or OpenSSH client on Windows to get the *ssh-keygen* command. |
| In Linux terminal | Run command:<br>ssh-keygen -t ed25519 -C "Your_Application_DL@example.com" |

The generated private key (usually id_ed25519) and public key (usually id_ed25519.pub) will be in the ~/.ssh directory.

**Note**: Some legacy servers do not support ED25519 algorithm based SSH keys generation. In these instances, RSA 2048 bits/4096 bits based SSH keys generation can be used.

To generate RSA 2048 bits/4096 bits based SSH keys generation:

| | |
|---|---|
| In Windows command prompt or Power Shell | Run command:<br>ssh-keygen -t rsa -b 2048 -C Your_Application_DL@example.com (or)<br>ssh-keygen -t rsa -b 4096 -C "Your_Application_DL@example.com"<br>The generated private key (usually id_rsa) and public key (usually id_rsa.pub) will be in the C:\Users\<YourUserName>\.ssh directory.<br>**Note**: Participants can install Git-Bash or OpenSSH client on Windows to get the *ssh-keygen* command.<br>Microsoft users can refer to learn.microsoft for key generation and usage guidelines. |
| In Linux terminal | Run command:<br>ssh-keygen -t rsa -b 2048 -C Your_Application_DL@example.com (or)<br>ssh-keygen -t rsa -b 4096 -C "Your_Application_DL@example.com"<br>The generated private key (usually id_rsa) and public key (usually id_rsa.pub) will be in the ~/.ssh directory. |

### 4.3.4. SFTP accounts

When their account is created, users will be provided with their SFTP account name.

**Note:** ASX Customer Technical Support must be informed of any changes to public SSH key or public IP address for an account.

When an SFTP account is created, ASX provides the account name to the user, using the naming convention:

- a three-character customer code, followed by
- one of the UICs from the users Test Kit.

**Note:** Files for transactions against all UIC/PIDs in the Test Kit can be processed through this account as long as the file name matches the specified and expected UIC.

### 4.3.5. Account Permissions

Accounts will have the following access rights/permissions on the SFTP server:

- Upload the test trade files
- Download acknowledgement reports
- View folders and contents in the folders.

### 4.3.6. Simultaneous Logins

Up to five logins per account can connect to the ASX SFTP server simultaneous. Subsequent attempts to login using the same account will be rejected. To avoid issues regarding simultaneous logins, additional accounts can be requested.

### 4.3.7. Accessing Files on the ASX SFTP Server

Users can access the **ftptest.asx.com.au** SFTP site from the command line or from any SFTP client that supports SSH connections.

Users using UNIX or LINUX can use native SCP commands.

Microsoft environments do not natively support secure copy commands. Microsoft users can refer to the commands in section 10.4 Microsoft Users – Accessing Files from SFTP Folders.

### 4.3.8. Trade File Upload Tool Connection Details

Users are required to connect to the ASX Crush SFTP using the following connection details:

| Item | Details |
|---|---|
| Domain Name | ftptest.asx.com.au |
| IP Address * | 203.15.146.210 |
| Port: | TCP 22 |
| SFTP Account Name | Provided separately as part of the connectivity process. |

* ASX strongly recommends the use of domain name when accessing the SFTP instead of the IP address.

### 4.3.9. Trade File Upload Tool SFTP Folder Structures

Users will need to configure their SFTP server to write to and read from their unique secure folder structure, as detailed in the following table for ITE1:

| Folder path | SFTP Location |
|---|---|
| Input Path | <ACCOUNT_CODE>_<UIC>/CP_Upload/<UIC>_trades_<current_date_time>.csv |
| Output Path | <ACCOUNT_CODE>_<UIC>/CP_Download/<UIC>_trades_<current_date_time>_ACK.csv |
| Processed Path | <ACCOUNT_CODE>_<UIC>/CP_Processed/<UIC>_trades_<current_date_time>.csv |

Where:

- <ACCOUNT_CODE> is the code provided by ASX as part of the SFTP Account Name and confirmed at the time of SFTP folder creation
- <UIC> is the specified Unique Identification Code (UIC) number from the Test Kit the has been used to create a unique folder name
- <current_date_time> is the date and time of the trade file creation (refer to Trade File Naming in section 7 Trade File Upload), and
- 'CP' represents the 'CHESS Project' delivered SFTP solution.

ABC_1234 (one folder for each participant)

- CP_Upload
- CP_Download
- CP_Processed

The subdirectories will be used to:

- CP_Upload – upload trade template files
- CP_Download – ASX will send Test Kits and trade rejections to these subfolders
- CP_Processed – archive processed files (not a confirmation of their processing status).

# 5. CHESS User Test Kits

## 5.1. Test Kit overview

Test Kit details are supplied in a separate document at the time of Test Kit creation and include:

- AIC – Access Identification Code
- PIDs – Participant Identification Codes (including Offeror UIC).

### 5.1.1. Default Entrepot HINs

Default Entrepot HINs must be nominated and recorded in a CHESS default table to facilitate settlement. When a Test Kit is created users can request default entrepot HINs to be created by the CHESS support team on their behalf. When this occurs, the HINs are automatically recorded in the default table.

Should users choose to create their own Entrepot HINs (via MT201 messages), or change them, the HINs must be advised to the CHESS support team by emailing CHESShelp@asx.com.au in order to record them in the CHESS default table.

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Entrepot HIN Update |
|---|

### 5.1.2. Payment Facilities

All PIDs are allocated a default payment facility at the time of creation. HIN Specific payment facilities can be requested via email to CHESShelp@asx.com.au, please include HINs to be associated to Payment Facility

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Payment Facility Update |
|---|

## 5.2. Test Kit issuance

Test Kits are issued via email to the nominated contact(s) on the user's application form.

## 5.3. Test Kit maintenance

A reset will remove the following from your Test Kit:

- holdings
- sub-positions
- outstanding obligations
- corporate actions
- takeover information.

To request a reset request, please email CHESShelp@asx.com.au

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Test Kit Reset |
|---|

If required, ASX may require a Test Kit be reset at any time. If this is required, ASX will contact the user to arrange the appropriate time for the reset.

## 5.4. Inactive Test Kits

Test Kits that have not been connected to a CHESS test environment for a period of two years or more are considered inactive. Inactive Test Kits may be deactivated or decommissioned at any time. It is the user's responsibility to maintain Test Kit activity to avoid disruption.

## 5.5. Test Kits Cancellations

If users no longer require their Test Kit, they can request it be cancelled at any time by emailing CHESShelp@asx.com.au.

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Test Kit Cancellation |
|---|

# 6. AMO Trades

## 6.1. AMO Trade Acceptance Service

AMOs are able to test the transmission of FIX messages outlined in the AMO User Technical Documentation.

As the CHESS Test environments are available for functional testing only, and to manage message volumes transmitted to the CHESS test environment(s), AMOs are requested to limit the instruments transmitted to the CHESS Test Environments by referring to the Supported Instruments For Testing Trades list (see section 10.3 Attachments).

### 6.1.1. Instruments

Instruments on the CHESS Test Environments Supported Instruments for Testing Trades list will be supported in the CHESS test environments for Trade Acceptance, Price Registration, and resulting Clearing Messages.

Instruments not listed on the CHESS Test Environments Supported Instruments For Testing Trades list may still be accepted in the CHESS Test Environment(s) however this is on a best endeavours basis and it is possible that end to end workflows such as the generation of Clearing Messages may not be operational.

### 6.1.2. Participant IDs

Where AMOs report Trades to CHESS for Trading Participants, they should be aware that Participant Identifiers in a CHESS test environment may not correspond with Production Identifiers / identifiers that they have configured. In the event an AMO reports a trade for a Trading Participant not represented in the CHESS Test Environment under the same Participant Identifier they will receive a rejection acknowledgement.

## 6.2. Testing CHESS Messages initiated from AMO Integrated Environments

AMOs may integrate their test environments to the CHESS test environment(s) to support testing of end-to-end customer workflows.

### 6.2.1. Instruments

Where AMOs integrate their test environments to the CHESS test environment(s) they are encouraged to inform their testers/customers what instruments are reported to, and/or supported by the CHESS Test environments.

AMO customers should be aware that Instruments not listed on the CHESS Test Environments Supported Instruments For Testing Trades List may still be accepted in the CHESS Test Environment(s) however this is on a best endeavours basis and it is possible that end to end workflows such as the generation of Clearing Messages may not be operational.

AMOs may direct their customers to the CHESS Test Environments Supported Instruments For Testing Trades List (see section 10.3 Attachments).

### 6.2.2. Participant IDs

As Participant Identifiers in a CHESS test environment may not correspond with Production Identifiers, users should be aware that if a different identifier exists between an AMOs customer test environment, any trades reported by an AMO Reported to CHESS will result in the subsequent settlement obligations and trade notifications being registered against the CHESS configured user.

### 6.2.3. All Other CHESS Messages

CHESS Users can test other EIS Messages using instruments available in the environment.

# 7. Trade File Upload

## 7.1. Trade Files

The Trade File Upload tool allows users to construct trade files for testing in a CHESS test environment using a Microsoft Excel workbook template (the Trade File Template), which converts data entered in the Input tab into the structure required for processing by the tool. Users are required to save the data automatically generated in the Output tab, into a separate CSV file for processing.

The Trade File Template, which has changed as a result of CHESS Release 1, is available from section 10.3 Attachments.

Users should follow the instructions in the Trade File Template to ensure that the correct data is populated in the Output tab for successful processing.

### 7.1.1. Upload Files

Trade Files should conform to the following naming conventions:

- File names should be in lowercase.
- File names should start with prefix "z_trades_", where 'z' is the Specified UIC for File Naming provided as part of the SFTP account set up, e.g. "0123_trades_".
  - The UIC used in the file name will be the same and must match the UIC in the name of the SFTP folder to which it is being uploaded.
- File names must end with "yyyymmdd_hhmm.csv", where:
  - yyyymmdd is the current date, on which trades are uploaded. If there are multiple files to be processed on the same day, this part of the filename remains the same for all files.
  - hhmm is the current hour and minute, in 24-hour format of the Trade File Upload tool file creation. If there are multiple files to be processed intra-day, this part of the file name will be different for each file, e.g. 5:30 PM would be entered as 1730.
  - .csv is the file extension.
- Example file name: 0123_trades_20250522_1730.csv

The uploaded Trade File can:

- handle multiple messages within the one file (bulked). Note the file can accept between 1 and 5000 rows/message records.
- comprise both message types, i.e. new trades and trade cancellations
- in the case of 'cancelled trades':
  - the original trade must already exist in the CHESS Release 1 Clearing Service or be listed in the file before the cancelled record in the file. Where a trade and a trade cancellation are included in the same file ASX recommends a number of trades be included in between the original trade record and the cancellation record.
  - the Trade ID for the original trade to cancel, which is automatically populated in column B of the Trade File template, must be populated in the conditional Trade ID field (column J).

### 7.1.2. Acknowledgement Files received from ASX (Download Files)

An Acknowledgement file's name will match the name of the Trade File, appended with _ACK and with a .csv extension.

Example file name: 0123_trades_20250522_1730_ACK.csv

The Acknowledgement file can, depending on the Trade File submitted to the ASX, contain multiple message responses within the one file.

### 7.1.3. File Processing Rejections – File Names

The Trade File name is validated by the Trade File Upload Tool before processing. If the file name is not in the correct format or fails either of the following validations it will be rejected:

- UIC in the file name must match the folder name. Users are reminded that file can contain any UICs/PIDs from their Test Kit, but the file name must match the folder name which is referencing one of the Test Kit UICs only.
- Date must be the current business day. Files with a filename representing a past business day or future business day will be rejected.

### 7.1.4. File Processing Rejections – Business Rules

In the event a trade record contained within the Trade File Upload Tool file does not meet the business rule validations of the Clearing Service, that record will be rejected.

Other records contained within the Trade File Upload Tool file that can successfully be processed will not be impacted by a rejected record.

Rejected records can be identified in the Acknowledgement file.

### 7.1.5. File Processing Rejections – Schema and Format

If users follow the Instructions outlined in the Trade File Template, they will not incur a Schema/Format rejection. If users were to try and populate a Trade File themselves without using the Input and Output Tabs of the Trade File Template, they may inadvertently create a file that is not constructed around the correct file schema or may include data in a particular field that is not expected by the Trade File upload tool.

An example of invalid data is Trade Dates. These should reflect the current Business Day at all times and there are specific fields to populate if the Trade is to be constructed as an 'As At' trade which is a previous business days trade that is reported late on the current business day.

The Trade File Upload Tool expects the data and file schema created by the Trade File Template and is not designed to cater for every variation a manually created file could introduce.

In the event a schema or data invalid file is uploaded the Trade File Upload Tool will not be able to process it and no Download / Acknowledgement file will be generated. In the event that a Download Acknowledgement File is not generated users are requested to contact CHESShelp@asx.com.au to identify and resolve the issues associated with processing their Upload Trade file.

### 7.1.6. Email Process

**Note**: The email Test Trade File Upload process is a temporary service which will be decommissioned when the new ASX SFTP Service becomes available. Users will be advised the timings relating to this transition when they become available.

To create trade settlement obligations in the CHESS test environments using the email service, users will need to:

- Email a .csv file generated using the data generated in the Output tab of the Trade File Template to the CHESS support team at CHESShelp@asx.com.au

Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Trade File

- The CHESS support team will upload the file into CHESS for processing. Please allow up to 4 business hours for this to occur.

- Once processed, the CHESS support team will email back to the sender the Acknowledgement file to confirm the status of the records submitted in the file.
- For files that are unable to be processed, which may occur if File Names, File Schema, and Payload Data does not conform to the specifications of the Trade File Template, the CHESS support team will inform the user of the processing failure.
- Successfully processed trade records will result in a MT164 Trade Notification or a MT116 Trade Cancellation to the nominated Trading Participants mapped Clearing Participant in the Test Environment.

### 7.1.7. SFTP Process

ASXs current SFTP service, which will be retired when ASXs new SFTP service is available, is currently connected to the RTE+ITE01 test environment and will be made available in the XP1+IPS01 test environment when Release 1 go-live occurs.

Users can use the SFTP service in its current configuration to automatically upload and process Trade Files more seamlessly than email.

Users connected to the ITE01 SFTP Trade File Upload as part of CHESS Release 1 Clearing Regression testing will continue to be able to access their existing folders. New users will be able to request current SFTP Trade File Upload access by emailing CHESShelp@asx.com.au.

All users of the current SFTP Trade File Upload service will need to reconfigure their connections to the new SFTP Trade File Upload service when it becomes available to continue uploading trade files for testing without disruption.

To create trade settlement obligations in the CHESS test environments using the current SFTP service, users will need to:

- Transfer their .csv file generated using the data generated in the Output tab of the Trade File Template to their SFTP 'CP_Upload' folder
- The file will be automatically collected and processed by the SFTP Service in accordance with the File Processing Schedule outlined below
- Once processed, an Acknowledgement file to confirm the status of the records submitted in the Trade File will be transferred to the user's SFTP CP_Download folder
- For files that are unable to be processed, which may occur if File Names, File Schema, and Payload Data does not conform to the specifications, no Acknowledgement File will be generated
- Processed files will be transferred to the users SFTP CP_Processed folder for archiving. This folder will only contain the original file and will not identify the processing status of the file or its records.
- Successfully processed trade records will result in a MT164 Trade Notification or a MT116 Trade Cancellation to the nominated Trading Participants mapped Clearing Participant in the Test Environment.

### 7.1.8. SFTP File Processing Schedule

ASX will poll for uploaded files approximately every 5 minutes during the hours of 07:10 to 17:00 AET (Sydney Time) and will transmit any unprocessed files to the Clearing Service.

Processing of Trade Files is expected to take a number of minutes. At the completion of processing, Acknowledgement files will be generated and placed in the users Download folder.

Successfully processed trade records will result in a MT164 Trade Notification or a MT116 Trade Cancellation to the nominated Trading Participants mapped Clearing Participant in the Test Environment.

# 8. CHESS Messages

## 8.1. Message Responses

Messages are responded to the same way as production, i.e. the same applications are used to process responses. For example, a MT201 (New Registration Details) message will be responded to immediately with a MT202 (Accepted New Registration Details) message.

In the situations where third parties are required to complete a transaction, additional processors exist to simulate these parties. For example, in Production, an MT017 (Issuer Sponsored to CHESS Conversion Request) message would be responded to by the relevant Share Registry. However, in the External User Testing Environment MT017 will be responded to by a registry simulator application. In order to receive desired responses, please refer to Appendices A, B, C, D and E.

## 8.2. Automatic Turnaround Processor

The Automatic Turnaround Processor enables users to conduct one-sided testing in relation to dual entry message testing i.e. CHESS will respond on behalf of the counterparty. For example, test PID 1232 sends a MT101 message (Demand Dual Entry CHESS to CHESS Transfer Request) to counterparty PID 1239, the automatic turnaround program will match the message and PID 1232 will receive a MT166 message.

Each Test Kit is allocated a PID that is assigned to the Automatic Turnaround Processor. This PID is identified as follows:

Market Participants automatic turnaround PID will end with a '9'

Non-Market Participant automatic turnaround PID will begin with a '9'.

Detailed examples and instructions are outlined in section 10.1 Automatic Turnaround Processor Requirements.

### 8.2.1. Off Market Takeover Bids

To request an Off Market Takeover, please email CHESShelp@asx.com.au and nominate target security code available in the Settlement and Subregister Service.

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Takeover Request |
|---|

An Offeror HIN will need to be set up by the CHESS support team, please provide your Offeror UIC from your Test Kit. All takeovers will be set up as unconditional unless otherwise requested.

Please advise the CHESS support team when a status on a takeover should be updated, i.e. changing from unconditional to closed or closed to finalised. Please note that when a takeover status is finalised all sub-positions are released.

Please refer to Appendix D – Off Market Takeover Bid Processing for takeover acceptance and removal processing.

If you require the sub-position to be removed by the registry (i.e. 431 takeover transfer) please provide the CHESS support team with the Offeror HIN, Takeover Code, Units and HIN to be affected.

### 8.2.2. Takeover Acceptance & Removal Messages

Submit messages as specified in Appendix D – Off Market Takeover Bid Processing.

### 8.2.3. Housekeeping of unactioned messages

CHESS Housekeeping will occur in accordance with the details specified in Appendix A – Conversion and Transfer Requests.

### 8.2.4. Holding Advice Detail

Submit messages as specified in Appendix E – Holding Advice and Bank Account Detail.

## 8.3. Manually Requested Messages

### 8.3.1. Warrant testing

A warrant agent relationship can be established at the time of your Test Kit creation. If you require the relationship to be included to an existing Test Kit, please advise the CHESS support team by emailing CHESShelp@asx.com.au.

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Warrant Agent |
|---|

### 8.3.2. Change of Settlement Cut Off Time

CHESS Event Notification MT542 message provides information to the change of settlement cut-off times. These messages can be arranged upon request by emailing CHESShelp@asx.com.au

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Settlement Cut Off Time |
|---|

Note: All Participants will receive MT542 message in the event of change to settlement cut-off notification request.

### 8.3.3. Options cover & removal

Should you require Options Testing (where Clearing Member differs) and a third party clearer relationship is not already established within your kit, please nominate the following and advise the CHESS support team by emailing CHESShelp@asx.com.au:

- PID (from your Test Kit)
- Clearing Member PID.

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Options Cover |
|---|

### 8.3.4. Corporate Actions

In Production, corporate action details are communicated via signals. There is no link between signal testing and the External User Testing Environment. Therefore, to ensure that our environment is in line with your corporate action testing and entitlements are created by CHESS the following will need to occur:

All Corporate Action requests should be emailed to CHESShelp@asx.com.au **no later than 11:00 (Sydney time) the day prior to the Ex-date**. Note: These files cannot be processed on the Ex-date as CUM entitlement balances will not be generated.

| Recommended email subject: CHESS Testing / Organisation Name / Test Environment AIC / Ex Date = <Insert Date><br>e.g. CHESS Testing / XYZ Pty Ltd / Test Environment 26380 / Ex Date = 20260330 |
|---|

**Corporate Action Event Files** for Bonus, Dividend, Interest, Renounceable and Non-Renounceable corporate actions:

- Email CHESShelp@asx.com.au with your nominated Instrument for which you require the corporate action to apply and request a 9-digit corporate action ID for your file. Once the Corporate Action ID is received add it to the Corporate Action ID field of your file.
- Select the Corporate Action Template format for the type of corporate action you are creating (refer to Corporate Action Event file templates in Appendix G - Corporate Action Files)
- Complete the relevant details in the Corporate Actions template in accordance with the Reference Point Corporate Actions Message Specification Manual, including:
  - Issuer Codes and/or Issuer Code and Security Code
  - Dates for the Corporate Action events that are in the future and meet the cut off timeframes outlined above
- Save the completed Corporate Action Event file in a text format (i.e. extension must be .txt)
- Email the Corporate Action Event file to CHESShelp@asx.com.au

For access to Reference Point Corporate Actions Message Specification Manual, contact ASX Customer Technical Support email cts@asx.com.au or 1800 663 053.

**For all other corporate action event requests** please email CHESShelp@asx.com.au your request with the following details:

- Security code/s
- Ex date
- Record date
- All other relevant event dates.

### 8.3.5. Holding Adjustments

If you require an Effected Holding Adjustment MT022, please email the request to CHESShelp@asx.com.au.

| Recommended email Subject: CHESS Testing / Organisation Name / Test Environment AIC / Holding Adjustment |
|---|

The request must include the following details

- Security code/s
- HIN/s
- Increase/decrease
- Reason
- Unit Quantity.

### 8.3.6. Cash Market Margins & Responses

The MT 942, 952, 940 and 954 messages are generated **overnight** by the CHESS support team

The day before the Participant expects the messages, they must request these from CHESShelp@asx.com.au.

All other Cash Market Margining messages can be found in Appendix F - Cash Market Margining of this document.

These messages are based on default data. The Margin Settlement Advice does not replicate calculations based on the user's novated and unsettled cash market settlement obligations as it would in production.

The CHESS support team will generate the below messages. Each message outlines information required in the email request from the participant.

MT942 Margin Settlement Advice

For options available to participants, please refer to section 8.3.7.1 Margin Settlement Notification Advice Rules .

The following fields in the MT942 message will change daily:

- Margin Payment Date
- Transaction Id
- Origin Transaction Id
- Processing timestamp.

If you require a Margin Settlement Advice MT942, please email the request to CHESShelp@asx.com.au.

| Recommended email Subject: CHESS Testing / Organisation Name / Test Environment AIC / Margin Settlement Advice |
|---|

The request must include the following details:

- UIC – from users Test Kit
- Values for each message field from the below Margin Settlement Notification Advice that are not marked as Calculated Fields
  - Excess cash shortage to be a positive amount and excess cash as zero – all fields to be supplied by participants according to the rules listed in the table. Calculated fields will be automatically populated by CHESS, based on other fields supplied.

## 8.3.7. Cash Market Margins Responses

### 8.3.7.1. Margin Settlement Notification Advice Rules

*Note: Calculated fields will auto populate based on other fields supplied by participants.

| Message Field | Default Setting | Example where participant requests excess cash shortage to be a positive amount | Example where participant requests excess cash shortage as zero | Rules |
|---|---|---|---|---|
| Settlement Amount | +1,000,000.00 | +1,000,000 | +1,000,000 | If short, amount will be positive (+),<br>If ASX to pay, then sign is negative (-). |
| Cash Balance Brought Forward | +6,000,000.00 | +4,000,000 | +4,000,000 | |
| Market | CMM | CMM | CMM | |
| Cash Payment / Withdrawal | -2,000,000.00 | -2,000,000.00 | -2,000,000.00 | |

| Message Field | Default Setting | Example where participant requests excess cash shortage to be a positive amount | Example where participant requests excess cash shortage as zero | Rules |
|---|---|---|---|---|
| Notification Type | E | E | E | |
| Cash Balance Carried Forward – **Calculated field* | | +2,000,000 | +2,000,000 | Cash Balance Brought Forward + Cash Payment /Withdrawal |
| Initial Margin | +5,000,000.00 | +1,000,000 | +1,000,000 | |
| Other Margin | +0.00 | +1,000,000 | +1,000,000 | |
| Utilised Non-Cash Collateral | +0.00 | +500,000 | 0.00 (zero) | cannot exceed Initial Margin + Other Margin |
| Excess / Shortage – **Calculated field* | -1,000,000.00 | +500,000 | 0.00 (zero) | Excess / Shortage" = "Cash Balance Carried Forward" + "Utilised Non-Cash Collateral" – "Initial Margin" – "Other Margin" |
| Excess Cash Standing Instruction | +0.00 | +2,000,000 | +2,000,000 | Field can only have a positive (+) amount or 0.00 amount populated |
| Resultant Cash Balance – **Calculated field* | | +3,000,000 | +3,000,000 | Cash Balance Carried Forward + Settlement Amount |
| Resultant Excess – **Calculated field** | | +1,500,000 | +1,500,000 | Excess / Shortage + Settlement Amount |

### 8.3.7.2. Collateral Statement

The following fields in MT952 message will change daily. Date, HIN, Lodgement Date, Processing Timestamp, Transaction Id, Set Transaction Id, Origin Transaction Id.

All other fields are generated by the testing simulator. For a collateral statement for EQY the security BHP will be used as default.

If you require a Collateral Statement MT952, please email the request to CHESShelp@asx.com.au.

| Recommended email Subject: CHESS Testing / Organisation Name / Test Environment AIC / Collateral Statement |
|---|

The request must include the following details:

- UIC – from users Test Kit
- Collateral Type – EQY (direct HIN required) or CSH (no HIN required).

### EQY example

```
952-01 Collateral Statement
------------------------------------------------------------
002 Security Code                : BHP
012 Date                         : 20130124
014 Account                      : HOUSE
016 HIN                          : 0006485995
021 Processing Timestamp         : 201301252013012507134 3
048 Transaction Id               : 990063254AXQJC00
049 Set Transaction Id           : 990063254AXQJB00
052 Unit Quantity                : 00000010000
062 Origin Transaction Id        : 990063254AXQJC00
063 Market                       : CMM
068 Market Value                 : 00000036540000
085 Notification Type            : E
099 Collateral Type              : EQY
155 Unit Price                   : 00036540000
221 Haircut Rate                 : 00000200000
236 Lodgement Date               : 20130121
252 Collateral Value             : +00000029232000
```

### CSH example

```
952-01 Collateral Statement
------------------------------------------------------------
012 Date                         : 20130124
014 Account                      : HOUSE
021 Processing Timestamp         : 201301252013012507134 3
048 Transaction Id               : 990063254AXQJL00
049 Set Transaction Id           : 990063254AXQJB00
062 Origin Transaction Id        : 990063254AXQJL00
063 Market                       : CMM
068 Market Value                 : 00000100000000
078 Currency                     : AUD
085 Notification Type            : E
099 Collateral Type              : CSH
221 Haircut Rate                 : 00000000000
252 Collateral Value             : +00000100000000
```

#### 8.3.7.3. Daily Interest Earned

The following fields in MT940 message will change daily; Date, Processing Timestamp, Transaction Id, Set Transaction Id, Origin Transaction Id.

All other fields are generated by the testing simulator.

If you require a Daily Interest Earned MT940, please email the request to CHESShelp@asx.com.au.

| Recommended email Subject: CHESS Testing / Organisation Name / Test Environment AIC / Daily Interest Earned |
|---|

The request must include the following details:

- UIC – from users Test Kit.

```
940-01 Daily Interest Earned Statement
-------------------------------------------------------------
003 Interest Amount               : +00000000013698
012 Date                          : 20130124
021 Processing Timestamp          : 201301252013012507134l
048 Transaction Id                : 990063254AXAW000
049 Set Transaction Id            : 990063254AXAVZ00
062 Origin Transaction Id         : 990063254AXAW000
063 Market                        : CMM
067 Principal                     : 00000100000000
085 Notification Type             : E
207 Interest Description          : EXCESS CASH

251 Interest Rate                 : +000000005000
```

# 9. Release 1 Transition

## 9.1. Background

Prior to CHESS Release 1, CHESS users had access to three CHESS test environments supporting the following test activities:

| Environment | Purpose |
|---|---|
| RTE | Testing Pre-Production CHESS code prior to production deployment |
| XP2 | Building & Testing against Production CHESS code |
| XP1 | Building & Testing against Production CHESS code |

As there were two Production CHESS code external CHESS user test environments, XP1 was repurposed as Release 1 Clearing Regression test environment to support that specific phase of Industry Testing. XP1 remained unused after Clearing Regression Testing was completed.

As part of CHESS Release 1 Go-live, the available CHESS test environments require reconfiguration to integrate the Release 1 Clearing Service. The following changes are planned/were made to facilitate external customer test environments with minimal disruption to test activities throughout the Release 1 transition, and enable them for external user testing through to Release 2.

| Environment | Release 1 Reconfiguration/Change |
|---|---|
| RTE | Integrated to R1 Clearing Service in ITE01 planned **approx. 1 month prior to R1 Go-Live**. Remains test environment for testing Pre-Production CHESS code prior to production deployment |
| XP2 | **Retired as at Release 1 Go-Live** |
| XP1 | Integrated to R1 Clearing Service in IPS01 **as at R1 Go-Live**. Recommences test environment for Building & Testing against Production CHESS code |

## 9.2. Changes

As a result of CHESS Release 1 Go-Live changes, external users in each test environment will experience differing degrees of impact and some action will be required. A summary of impacts and actions required is outlined below:

| Environment | Release 1 Impact | Action Required from Existing Users |
|---|---|---|
| RTE | Release 1 changes planned to occur over a single weekend. RTE environment continues to be Pre-Production CHESS codebase test environment. Users will need to use the new Release 1 template and processes outlined in this guide to submit Trade Files for upload & settlement obligation creation. | Obtain the new Test Trade File Template from this Guide and commence using the new file and processes once CHESS Release 1 changes/reconfigurations are deployed. |
| XP2 | XP2 test environment will be retired as part of R1 Go-Live. External user testing in this environment will no longer be available. | Transition to testing in XP1 prior to XP2 decommission date to avoid disruption of CHESS codebase testing. **Note**: Test Kits for XP1 will need to be used to successfully access the XP1 CHESS test environment (XP2 Test Kits will not be operative). |

| Environment | Release 1 Impact | Action Required from Existing Users |
|---|---|---|
| XP1 | Release 1 changes planned to occur as at Release 1 Go-Live. XP1 environment will commence as Production CHESS codebase test environment. Users will need to obtain Test Kits if they did not participate in Release 1 Clearing Regression testing will need to use the new Release 1 template and processes outlined in this guide to submit Trade Files for upload & settlement obligation creation. | Obtain the new Test Trade File Template from this Guide and commence using the new file and processes once CHESS Release 1 changes/reconfigurations are deployed on Release 1 Go-Live. |

# 10. Appendices

## 10.1. Automatic Turnaround Processor Requirements

### Appendix A – Conversion and Transfer Requests

Supplementary Reference Field – When using the turnaround PID, e.g. 1234 and 1239 to match a MT005 and Y is indicated in the supplementary reference field, the turnaround processor will automatically populate the matching 005 with the same supplementary reference as was entered in the original MT005. When not using the turnaround PID, e.g. 1234 and 1235 to match a MT005, normal Supplementary reference rules apply.

#### Dual Entry Conversion and Transfers

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|---|---|---|---|---|
| **Issuer Sponsored to CHESS Transfer** | unit quantity | odd Units<br>even units | 015<br>015 | 174- accept<br>076 - reject |
| **Issuer Sponsored to CHESS Conversion** | unit quantity | odd Units<br>even units | 017<br>017 | 172 – accept<br>076 - reject |
| **Certificated to CHESS Conversion** | unit quantity | odd Units<br>even units | 019<br>019 | 172 – accept<br>076 - reject |
| **Certificated to CHESS Transfer** | unit quantity | odd Units<br>even units | 021<br>021 | 174 – accept<br>076 - reject |

#### Rejected Movement Reason Codes

| Unit Range | Rejected Movement | Description |
|---|---|---|
| 0 – 1000 | A | Issuer holding locked |
| 1001 – 2000 | B | Certificate invalid |
| 2001 – 3000 | C | Unauthorised access |
| 3001 – 4000 | D | Certificate declared lost |
| 4001 – 5000 | E | Insufficient securities |
| 5001 – 6000 | F | Registration details do not match |
| 6001 – 7000 | G | Invalid PIN |
| 7001 – 8000 | H | Invalid Security holder Reference Number |
| 8001 – 8200 | J | Documentation not received |
| 8201 – 8400 | K | Registry certificate quantity different to certificate quantity supplied |

| Unit Range | Rejected Movement | Description |
|---|---|---|
| 8401 – 8600 | L | Duplicate certificate number supplied by registry – SRN must be supplied |
| 8601 – 8800 | M | Insufficient cum entitlement |
| 8801 – 9000 | N | Probate not noted |
| 9001 – 9200 | O | Invalid foreign guarantee |
| 9201 – 9500 | P | Insufficient foreign units |
| 9501 – 10,000,000 | R | Documentation incorrectly signed |

## CHESS House Keeping

Range of even unit values to generate CHESS House Keeping MT694.

| Unit Range | Rejected Movement | Description |
|---|---|---|
| 10,000,001 – 99,999,999,999 | N/A | House kept by CHESS<br>Refer to below for dates message generates. |

Example: If Participant initiates message on 20/04/2026, on the night of the 5th business day 27/04/2026 (note do not include date participant-initiated message) CHESS will generate the MT694 during end of day processing. The MT694 will be available on the morning of the 6th business day (28/04/2026).

# Appendix B – Options Cover

## Options Cover Creation

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|---|---|---|---|---|
| **Options Cover Creation** | unit quantity | odd Units<br>even units | 027<br>027 | 020– accept<br>030 – reject |

## Rejected Options Cover Movement Reason Codes

Range of even unit values required to generate rejected collateral reason codes for reduced options cover MT030.
**Note**: All odd unit values will generate a Collateral Rejected Reason code of "Z" MT030.

| Unit Range | Collateral rejected reasons | Description |
|---|---|---|
| 0 – 500 | A | As requested by member |
| 501 – 1000 | B | Collateral previously withdrawn by member |
| 1001 – 1500 | C | Invalid stock code |
| 1501 – 2000 | D | Invalid sender PID |
| 2001 – 2500 | E | Authorisation is not in place for this account/HIN combination/s |
| 2501 - 3000 | Z | Other |
| 3001 – 3500 | G | Number of Units for withdrawal is more than the available Number of Units lodged |
| 3501 – 4000 | H | Invalid HIN |
| 4001 – 5000 | I | Invalid Account |
| 5001 – 5500 | K | Invalid Participant |
| 5501 – 6000 | L | Invalid Lodgement Number |
| 6001 – 6500 | M | Incorrect message type sent by Participant |
| 6501 – 7000 | N | Account or lodgement has been locked by ASX Clear |
| 7001 – 8000 | O | Original lodgement number cannot be found |
| 8001 – 9700 | Q | Collateral holding does not exist in this account |
| 9701 – 9800 | U | Invalid Number of Units |
| > 9801 | Z | Other |

## Rejected Options Cover Removal Movement Reason Codes Where Controlling Participant & CP are different

ASX Clear lodgement number values required to generate collateral rejected reason codes for rejected options cover removal MT078.

| ASXCL Lodgement Number ends with | Collateral Rejected Reason | Description |
|---|---|---|
| 1 | A | As requested by Member |
| 3 | B | Collateral previously withdrawn by member |
| 5 | C | Invalid stock code |
| 7 | D | Invalid sender PID |
| 9 | G | Number of Units for withdrawal is more than the available Number of Units lodged |
| A | G | Number of Units for withdrawal is more than the available Number of Units lodged |
| B | H | Invalid HIN |
| C, D or E | I | Invalid Account |
| F, J or K | L | Invalid lodgement Number |
| L or M | O | Original lodgement number cannot be found |
| N, O, P or Q | Q | Collateral holding does not exist in this account |
| R or S | U | Invalid Number of Units |
| T | Z | Other |

## Appendix C – SRN Requests

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|---|---|---|---|---|
| **SRN Enquiry** | Postcode provided as part of registration details | Post code range < 3001<br>Post code range > 3000 and < 5001 and range > 5000 including all country codes | 451<br>451 | 458- accept<br>462 – reject |
| **Holding Balance Enquiry** | Security holder reference number | SRN is an odd number or ends in A-M<br>SRN is an even number or ends in N – Z | 017<br>017 | 470 - accept<br>474 – reject |

### Rejected CHESS to SRN Movement Reason Codes

Range of post code values required to generate registry reject reasons for CHESS to Participant SRN reject MT462.

| Postcode range | Registry reject reason | Description |
|---|---|---|
| 3001 – 5001 | C | No matching registration details found |
| 35001 – ZZZZ<br>includes Country Code | D | Duplicate registration details records exist |

### Rejected CHESS Holding Balance rejects

Range of SRN values required to generate registry rejection reason for CHESS to participant holding balance reject MT474.

| SRN range (last character of SRN) | Registry reject reason | Description |
|---|---|---|
| 2, 4 or N-Q | A | No matching SRN |
| 6, 8 or R-V | B | SRN and verification details do not match |
| 0 or W-Z | E | Invalid Status |

# Appendix D – Off Market Takeover Bid Processing

## Participant Initiated T Acceptance and Removal

Values required for takeover acceptance and removal messages

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|---|---|---|---|---|
| **Takeover acceptance** | unit quantity | even Units<br>odd units | 031<br>031 | 038– reject<br>032 – accept |
| **Takeover acceptance Removal** | Unit quantity | odd units<br>Even units | 085<br>085 | 038– accept<br>088 – reject |

## Offeror Initiated TKO Acceptance and Rejection

Values required for takeover acceptance and rejection messages

| | Trigger Field Name | Trigger | | Participant Input Message | Resulting Message to Participant |
|---|---|---|---|---|---|
| **Offeror Takeover Acceptance– Participant Validates** | Units available in HIN | 0–5,000,000<br>Odd Units | | 711 Offeror<br>031 Participant | 704– Off<br>032 – P |
| **Offeror Takeover Acceptance– Participant Rejections** | Units available in HIN | 5,000,001–10,000,000<br>Odd Units | | 711 Offeror<br>035 Participant | 710– Off<br>084 – Part |

## Values required for takeover acceptance removal message

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|---|---|---|---|---|
| **Offeror Initiated TKO** | Units available in HIN | 10,000,001–99,999,999,999 | 711 Off | 704 Off |
| **Offeror Takeover Acceptance– Participant Validates** | Units available in HIN | 10,000,001–99,999,999,999 | 031P | 032 P |
| **Takeover Acceptance Removal by Offeror** | Units available in HIN | 10,000,001–99,999,999,999 | 707 Off | 706 Off<br>092 P |

## Offeror Initiated Cancelled TKO Acceptance

Values required to generate Cancelled Offeror Initiated TKO Acceptance:

| | Trigger Field Name | Trigger | Participant Input Message | Resulting Message to Participant |
|---|---|---|---|---|
| **Takeover Acceptance** | Units available in HIN | 10,000,001-99,999,999,999 | 711 Off | 704 |
| **Cancelled Offeror Initiated TKO Acceptance.** | Units available in HIN | 10,000,001-99,999,999,999 | | 432 P<br>432 Off |

**Note**: The MT432 (housekeeping) Cancelled Offeror initiated TKO message occurs in the event the Controlling Participant has not responded to an Offeror Initiated Takeover Acceptance with either an acceptance or rejection within the Scheduled Time.

# Appendix E – Holding Advice and Bank Account Detail

## Holding Advice Acceptance and Rejection

| | Trigger Field Name | Trigger | Participant Input Message | Registry Input | Resulting Input Message to Participant | Resulting Message to Registry |
|---|---|---|---|---|---|---|
| **Holding Advice Registry Accepts** | Bank Account Number | First 3 Bytes of the BSB | 757 | 759 | 764 | 762 |
| **Holding Advice Registry Rejects** | Bank Account Numbers | First 3 Bytes Of the BSB | 757 | 761 | 766 | 762 |

**Note:** Refer to the table below for further information.

Approved BSB numbers from the Australian Payments and Clearing Association Limited must be used.

If the Registry wishes to reject details of a Holding Advice message, the entire details will be rejected. A participant must resend the message with all details. E.g. If a Participant submitted Bank Account details on a Holding Advice message and received 'B', 'D' or 'H' as the rejected reason, the participant would be required to resend the Bank Account

Where a participant has elected to provide a bank account, the relevant optional fields must be completed. For example, if a participant provided a bank account, all bank account details must be provided (i.e. BSB Number, Account Number, Account Name and Account Purpose).

## Bank Account Establishment & Cancellation

| First 3 Bytes of BSB | Account Purpose | Account Cancellation | Rejected Holding Advice Reason | Description |
|---|---|---|---|---|
| **Bank Account Details Establishment** | | | | |
| 000 – 067 | E | Space | N/A (accepted) | |
| 068 – 101 | E | Space | H | Failed requirements for Bank A/C structure or format |
| 102 – 999 | E | Space | B | Issuer does not support electronic direct credit |
| **Cancellation of Bank Account Details** | | | | |
| 000 – 067 | E | Y | N/A (accepted) | |
| 068 – 999 | E | Space | D | Cancellation Bank A/C details do not match recorded Bank A/C details. |

# Appendix F – Cash Market Margining

## Lodgement of Non-Cash Collateral

| | Trigger Field Name | Trigger | Clearing Participant Input Message | Resulting Message to Clearing Participant |
|---|---|---|---|---|
| **Margin Cover Creation Request** | Unit Quantity | Odd Units | MT871 | MT876 – accept |
| **Reduced Margin Cover (Rejection)** | Unit Quantity | Even Units | MT871 | MT878 – reject |

The range of even units values required to generate the "Collateral Rejected Reason" values for "Reduced Margin Cover" (MT878) are as follows:

| Unit Range | Collateral Rejected Reason Value | Collateral Rejected Reason Description |
|---|---|---|
| 0000 – 1000 | C | Invalid Stock Code |
| 1001 – 2000 | D | Invalid Send PID |
| 2001 – 3000 | E | Authorisation not in place for this Account/HIN combination/s |
| 3001 – 4000 | H | Invalid HIN |
| 4001 – 5000 | I | Invalid Account |
| 5001 – 6000 | J | The stock is not accepted as cover at the present time |
| 6001 – 7500 | K | Invalid Participant |
| 7001 – 8000 | N | Account or Lodgement has been locked by ASX Clear |
| 8001 – 9000 | U | Invalid Number of Units |
| >9001 | Z | Other |

## Withdrawal of Non-Cash Collateral

| | Trigger Field Name | Trigger | Clearing Participant Input Message | Resulting Message to Clearing Participant |
|---|---|---|---|---|
| **Margin Cover Removal Request** | Unit Quantity | Odd Units | MT877 | MT878 – accept |
| **Rejected Margin Cover Removal Request** | Unit Quantity | Even Units | MT877 | MT956 – reject |

The range of even units values required to generate the "Collateral Rejected Reason" values for "Reduced Margin Cover" (MT878) are as follows:

| Unit Range | Collateral Rejected Reason Value | Collateral Rejected Reason Description |
|---|---|---|
| 0000 – 1000 | C | Invalid Stock Code |
| 1001 – 2000 | D | Invalid Send PID |
| 2001 – 3000 | E | Authorisation not in place for this Account/HIN combination/s |
| 3001 – 4000 | G | Number of Units for withdrawal is more than the available Number of Units Lodged. |
| 4001 – 5000 | H | Invalid HIN |
| 5001 – 6000 | I | Invalid Account |
| 6001 – 7000 | K | Invalid Participant |
| 7001 – 8000 | N | Account or Lodgement has been locked by ASX Clear |
| 8001 – 8500 | Q | Collateral Holding does not exist in this account |
| 8501 – 9000 | U | Invalid Number of Units |

## Excess Cash Standing Instruction

| | Trigger Field Name | Trigger | Clearing Participant Input Message | Resulting Message to Clearing Participant |
|---|---|---|---|---|
| **Excess Cash Standing Instruction Acceptance** | Amount is zero<br>Instruction Flag is Y | MT909 | MT936 (Accept) | Amount is zero<br>Instruction Flag is Y |
| ***Excess Cash Standing Instruction Request Rejection** | Amount is zero<br>Instruction Flag is Y | MT909 | MT938 (Reject).<br>Rejection "E" – Attempted to remove non-existent Excess Cash | Amount is zero<br>Instruction Flag is Y |
| **Excess Cash Standing Instruction Request Acceptance** | Amount is between 0 – 30,000,000<br>Instruction Flag is a space | MT909 | MT936 (Accept) | Amount is between 0 – 30,000,000<br>Instruction Flag is a space |
| **Excess Cash Standing Instruction Request Rejection** | Amount is > 30,000,000 and<br>Instruction Flag is space | MT909 | MT938 (Reject).<br>Rejection "M" – Maximum allowed excess cash | Amount is > 30,000,000 and<br>Instruction Flag is space |

*For Rejection Reason "E" – Attempted to remove non-existent Excess Cash Standing Instruction, please contact the CHESS support team by emailing CHESShelp@asx.com.au

## Margin Settlement Advice Change Request

| | Field Name & Trigger | Clearing Participant Input Message | Resulting Message to Clearing Participant |
|---|---|---|---|
| **Margin Settlement Amount Change Request Acceptance** | Odd dollar value<br>Settlement Amount is 0.00 to 30,000,001.00 | MT921 | MT948 (Accept)<br>New resultant excess cash default $5,0000.00 |
| **Margin Settlement Amount Change Request Rejection** | Even dollar value<br>Settlement Amount is 0.00 to 30,000,000.00<br>OR<br>Even or Odd when Settlement Amount is > 30,000,001.00 | MT921 | MT950 (Reject).<br>Rejected change reason must be supplied |

The range of even Settlement Amount values required to generate the "Rejected Margin Settlement Amount Change" (MT950) are as follows:

| Settlement Amount Range | Rejected Change Reason | Rejected Change Reason Description |
|---|---|---|
| 0.00 – 15,000,000.00 | S | Amount resulted in Shortage |
| 15,000,001.00 – 30,000,000.00 | L | Request received after Settlement locked |
| >30,000,001.00 | M | Maximum Allowed Excess Cash Exceeded |

## 10.2. Corporate Action Requests

### Appendix G – Corporate Action Files

#### CA Bonus Corporate Action

225 bytes

| Name | Column* | Size | Comments |
|---|---|---|---|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010108 (Note: new ID to be requested by users to populate in this field which is provided by C&S Ops for each corporate action. – refer section 8.3.4) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | BN |
| Parent ISIN | G | 12 | AU000000BWC1 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20260420 |
| Record Date Parent | J | 8 | 20260421 |
| Despatch Date New Shares | K | 8 | 20260428 |
| Subject Parent Issuer Code | L | 3 | BWC |
| Subject Parent Security Code | M | 3 | 3 spaces (shown in example below as underscore) |
| Parent Adjustment Type Code | N | 1 | B |
| Parent Action Code | O | 1 | A |
| Parent Adjustment Date | P | 8 | 20260422 |
| Parent Original Adjustment Date | Q | 8 | 00000000 |
| Object Bonus Issuer Code | R | 3 | BWC |
| Object Bonus Security Code | S | 3 | BN and 1 space |
| Calculation Method | T | 1 | 1 |
| Terms Multiplier | U | 5 | 00001 |
| Terms Divisor | V | 5 | 00002 |
| Fraction Rounding | W | 3 | 100 |
| Entitlement Multiples | X | 5 | 00000 |
| Cash Adjustment | Y | 7 | 0000001 |

| Name | Column* | Size | Comments |
|---|---|---|---|
| Subject ASX Issuer Code | Z | 3 | 3 spaces (shown in example below as underscore) |
| Subject ASX Security Code | AA | 3 | 3 spaces (shown in example below as underscore) |
| ASX Adjustment Type Code | AB | 1 | 1 space (shown in example below as underscore) |
| ASX Action Code | AC | 1 | 1 space (shown in example below as underscore) |

EXAMPLE OF TXT FILE

Based on the signal data above, your Bonus Corporate Action TXT file should look like below **except it should be all on one line.**

000001SI0000010108000000000BNAU000000BWC1A20260420260421260428BWC_ _
_BA20260422000000000BWCBN_1000010000210000000000001_ _ _ _ _ _ _00000000000000000

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

## CA Dividend Payment Corporate Action

375 bytes

| Name | Column* | Size | Comments |
|---|---|---|---|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010108 (Note: new ID to be requested by users to populate in this field which is provided by C&S Ops for each corporate action. – refer section 8.3.4) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | DV |
| Parent ISIN | G | 12 | AU000000BWD9 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20260420 |
| Record Date Parent | J | 8 | 20260421 |
| Dividend Payable Date | K | 8 | 20260428 |
| Subject Parent Issuer Code | L | 3 | BWD |
| Subject Parent Security Code | M | 3 | 3 spaces (shown in example below as underscore) |
| Parent Adjustment Type Code | N | 1 | D |
| Parent Action Code | O | 1 | A |
| Parent Adjustment Date | P | 8 | 20260422 |
| Parent Original Adjustment Date | Q | 8 | 00000000 |
| Current Dividend Amount | R | 10 | 0000040000 |
| Dividend Sub-Type | S | 1 | N/A |
| Special Indicator | T | 1 | N/A |
| DRP Indicator | U | 1 | N/A |
| BSP Indicator | V | 1 | N/A |
| Foreign Source Dividend Amount | W | 10 | N/A |
| Dividend Currency | X | 3 | N/A |
| Withholding Tax Rate (Non-Residents) | Y | 5 | N/A |
| Foreign Tax Credits Per Share | Z | 10 | N/A |
| Reserved Field | AA | 10 | N/A |
| Tax Deferred Amount | AB | 10 | N/A |

| Name | Column* | Size | Comments |
|---|---|---|---|
| Tax Advantaged Amount | AC | 10 | N/A |
| Tax Advantaged Type | AD | 1 | N/A |
| Foreign Currency Amount | AE | 10 | N/A |
| Franked Amount | AF | 8 | N/A |

EXAMPLE OF TXT FILE

Based on the signal data above, your Dividend Corporate Action TXT file should look like below **except it should be all on one line.**

000001SI0000010108000000000DVAU000000BWD9A20260420260423202604428BWD

_ _ _DA20260422000000000000040000

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

## CA Interest Payment Corporate Action

112 bytes

| Name | Column* | Size | Comments |
|---|---|---|---|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010108 (Note: new ID to be requested by users to populate in this field which is provided by C&S Ops for each corporate action. – refer section 8.3.4) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | IN |
| Parent ISIN | G | 12 | AU0000BWDHA2 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20260420 |
| Record Date Parent | J | 8 | 20260421 |
| Interest Payable Date | K | 8 | 20260428 |
| Subject Parent Issuer Code | L | 3 | BWD |
| Subject Parent Security Code | M | 3 | HA |
| Parent Adjustment Type Code | N | 1 | I |
| Parent Action Code | O | 1 | A |
| Parent Adjustment Date | P | 8 | 20260422 |
| Parent Original Adjustment Date | Q | 8 | 00000000 |
| Current Interest Rate | R | 11 | 00000309930 (Expressed as a Percentage to five decimal places, e.g. 3.0993%) |
| Current Interest Amount | S | 11 | 00030993000 (Expressed in Cents to five decimal places, e.g. $3.0993) |

EXAMPLE OF TXT FILE

Based on the signal data above, your Dividend Corporate Action TXT file should look like below **except it should be all on one line.**

000001SI000010108000000000IN AU0000BWDHA2A20260420260421 20260428BWD HA_IA20260422000000000000030993000030993000

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

## Settlement Days April 2026

| Sunday | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|---|---|---|---|---|---|---|
| | | | 30 Mar **1** 7 Apr | 31 Mar **2** 8 Apr | ASX Closed **3** Good Friday | 4 |
| 5 | ASX Closed **6** Easter Monday | 1 Apr **7** 9 Apr | 2 Apr **8** 10 Apr | 7 Apr **9** 13 Apr | 8 Apr **10** 14 Apr | 11 |
| 12 | 9 Apr **13** 15 Apr | 10 Apr **14** 16 Apr | 13 Apr **15** 17 Apr | 14 Apr **16** 20 Apr | 15 Apr **17** 21 Apr | 18 |
| 19 | 16 Apr **20** 22 Apr | 17 Apr **21** 23 Apr | 20 Apr **22** 24 Apr | 21 Apr **23** 27 Apr | 22 Apr **24** 28 Apr | 25 |
| 26 | 23 Apr **27** 29 Apr | 24 Apr **28** 30 Apr | 27 Apr **29** 1 May | 28 Apr **30** 4 May | | |

## CA Non-Renounceable Corporate Action

282 bytes

| Name | Column* | Size | Comments |
|---|---|---|---|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010134 (Note: new ID to be requested by users to populate in this field which is provided by C&S Ops for each corporate action. – refer section 8.3.4) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | NR |
| Parent ISIN | G | 12 | AU000000BCK6 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20260420 |
| Record Date Parent | J | 8 | 20260421 |
| Application Close Date | K | 8 | 20260501 |
| Despatch Date New Shares | L | 8 | 20260508 |
| Subject Parent Issuer Code | M | 3 | BCK |
| Subject Parent Security Code | N | 3 | 3 spaces (shown in below example as underscore) |
| Parent Adjustment Type Code | O | 1 | E |
| Parent Action Code | P | 1 | A |
| Parent Adjustment Date | Q | 8 | 20260422 |
| Parent Original Adjustment Date | R | 8 | 00000000 |
| Object Entitlement Issuer Code | S | 3 | BCK |
| Object Entitlement Security Code | T | 3 | R & 2 spaces (shown in below example as underscore) |
| Calculation Method | U | 1 | 1 |
| Terms Multiplier | V | 5 | 00001 |
| Terms Divisor | W | 5 | 00004 |
| Fraction Rounding | X | 3 | 100 |
| Entitlement Multiples | Y | 5 | 00000 |
| Cash Adjustment | Z | 7 | 0000005 |
| Subject Entitlement Issuer Code | AA | 3 | BCK |

| Name | Column* | Size | Comments |
|---|---|---|---|
| Subject Entitlement Security Type Code | AB | 3 | R & 2 spaces (shown in below example as underscore) |
| Entitlement Adjustment Type Code | AC | 1 | M |
| Entitlement Action Code | AD | 1 | A |
| Entitlement Adjustment Date | AE | 8 | 20260428 |
| Entitlement Original Adjustment Date | AF | 8 | 00000000 |
| Object New Issuer Code | AG | 3 | 3 spaces |
| Object New Security Code | AH | 3 | 3 spaces |
| Application Capital | AI | 9 | 000010000 |
| Application Premium | AJ | 9 | 000000000 |
| Application Premium Sign | AK | 1 | 1 space |
| Subject ASX Issuer Code | AL | 3 | BCK |
| Subject ASX Security Code | AM | 3 | R & 2 Spaces (shown in below example as underscore) |
| ASX Adjustment Type Code | AN | 1 | A |
| ASX Action Code | AO | 1 | A |
| ASX Adjustment Date | AP | 8 | 20260511 |
| ASX Original Adjustment Date | AQ | 8 | 00000000 |
| Object ASX Issuer Code | AR | 3 | BCK |
| Object ASX Security Code | AS | 3 | N/A |
| Shares Issued | AT | 12 | N/A |
| Pari Passu Indicator | AU | 1 | N/A |
| Comment | AV | 60 | N/A |

EXAMPLE OF TXT FILE

Based on the signal data above, your NR Corp Action TXT file should look like below **except it should be all on one line.**

000001SI000001013400000000NRAU000000BCK6A20260420260421202605012026050 8BCK_ _ _ EA20260422000000000BCKR _ _1000010000041000000000000005BCKR_ _ MA20260428000000000_ _ _ _ _ _0000100000000000000_BCKR_ _ AA20260511000000000BCK

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

## Settlement Days April 2026

| Sunday | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|---|---|---|---|---|---|---|
| | | | 30 Mar **1** 7 Apr | 31 Mar **2** 8 Apr | ASX Closed **3** Good Friday | 4 |
| 5 | ASX Closed **6** Easter Monday | 1 Apr **7** 9 Apr | 2 Apr **8** 10 Apr | 7 Apr **9** 13 Apr | 8 Apr **10** 14 Apr | 11 |
| 12 | 9 Apr **13** 15 Apr | 10 Apr **14** 16 Apr | 13 Apr **15** 17 Apr | 14 Apr **16** 20 Apr | 15 Apr **17** 21 Apr | 18 |
| 19 | 16 Apr **20** 22 Apr | 17 Apr **21** 23 Apr | 20 Apr **22** 24 Apr | 21 Apr **23** 27 Apr | 22 Apr **24** 28 Apr | 25 |
| 26 | 23 Apr **27** 29 Apr | 24 Apr **28** 30 Apr | 27 Apr **29** 1 May | 28 Apr **30** 4 May | | |

## Settlement Days May 2026

| Sunday | Monday | Tuesday | Wednesday | Thursday | Friday | Saturday |
|---|---|---|---|---|---|---|
| 31 | | | | | 29 Apr **1** 5 May | 2 |
| 3 | 30 Apr **4** 6 May | 1 May **5** 7 May | 4 May **6** 8 May | 5 May **7** 11 May | 6 May **8** 12 May | 9 |
| 10 | 7 May **11** 13 May | 8 May **12** 14 May | 11 May **13** 15 May | 12 May **14** 18 May | 13 May **15** 19 May | 16 |
| 17 | 14 May **18** 20 May | 15 May **19** 21 May | 18 May **20** 22 May | 19 May **21** 25 May | 20 May **22** 26 May | 23 |
| 24 | 21 May **25** 27 May | 22 May **26** 28 May | 25 May **27** 29 May | 26 May **28** 1 Jun | 27 May **29** 2 Jun | 30 |

## CA Renounceable Corporate Action

314 bytes

| Name | Column* | Size | Comments |
|---|---|---|---|
| Sequence Number | A | 6 | 000001 |
| Message Type | B | 2 | SI |
| Retransmit ID | C | 1 | 0 |
| Corporate Action ID | D | 9 | 000010081 (Note: new ID to be requested by users to populate in this field which is provided by C&S Ops for each corporate action. – refer section 8.3.4) |
| Dependent Corporate Action ID | E | 9 | 000000000 |
| Corporate Action Type Code | F | 2 | RR |
| Parent ISIN | G | 12 | AU000000BWC1 |
| Corporate Action Tran Type Code | H | 1 | A |
| Ex Date | I | 8 | 20260420 |
| Record Date Parent | J | 8 | 20260421 |
| Despatch Date Rights | K | 8 | 20260422 |
| Cessation Date Rights | L | 8 | 20260424 |
| Record Date Rights | M | 8 | 20260501 |
| Renunciation Close Date | N | 8 | 20260501 |
| Application Close Date | O | 8 | 20260501 |
| Despatch Date New Shares | P | 8 | 20260508 |
| Subject Parent Issuer Code | Q | 3 | BWC |
| Subject Parent Security Code | R | 3 | 3 spaces (shown in below example as underscore) |
| Parent Adjustment Type Code | S | 1 | R |
| Parent Action Code | T | 1 | A |
| Parent Adjustment Date | U | 8 | 20260422 |
| Parent Original Adjustment Date | V | 8 | 00000000 |
| Object Rights Issuer Code | W | 3 | BWC |
| Object Rights Security Code | X | 3 | R & 2 spaces (shown in below example as underscore) |
| Calculation Method | Y | 1 | 1 |
| Terms Multiplier | Z | 5 | 00246 |
| Terms Divisor | AA | 5 | 00100 |

| Name | Column* | Size | Comments |
|---|---|---|---|
| Fraction Rounding | AB | 3 | 100 |
| Entitlement Multiples | AC | 5 | 00000 |
| Cash Adjustment | AD | 7 | 0000001 |
| Subject Rights Issuer Code | AE | 3 | BWC |
| Subject Rights Security Code | AF | 3 | R & 2 Spaces (shown in below example as underscore) |
| Rights Adjustment Type Code | AG | 1 | M |
| Rights Action Code | AH | 1 | A |
| Rights Adjustment Date | AI | 8 | 20260501 |
| Rights Original Adjustment Date | AJ | 8 | 00000000 |
| Object New Issuer Code | AK | 3 | BWC |
| Object New Security Code | AL | 3 | BN & 1 space |
| Application Capital | AM | 9 | 000000100 |
| Application Premium | AN | 9 | 000000000 |
| Application Premium Sign | AO | 1 | 1 space |
| Subject ASX Issuer Code | AP | 3 | BWC |
| Subject ASX Security Code | AQ | 3 | BN & 1 space |
| ASX Adjustment Type Code | AR | 1 | A |
| ASX Action Code | AS | 1 | A |
| ASX Adjustment Date | AT | 8 | 20260511 |
| ASX Original Adjustment Date | AU | 8 | 00000000 |
| Object ASX Issuer Code | AV | 3 | BWC |
| Object ASX Security Code | AW | 3 | 3 spaces |
| Shares Issued | AX | 12 | N/A |
| Pari Passu Indicator | AY | 1 | N/A |
| Comment | AZ | 60 | N/A |

EXAMPLE OF TXT FILE

Based on the signal data above, your RR Corp Action TXT file should look like below **except it should be all on one line.**

000001SI000001008100000000000RRAU000000BWC1A20260420202604212026042220260420
20260501202605012026050120260508BWC_ _ _00000000BWCR_ _100246
00100100000000000001BWCR_ _ MA20260501000000000BWCBN_000000100000000000_
BWCBN_AA20260511000000000BWC _ _ _

See calendar (below) for dates used in this example to help you work out the new dates for your file. **It's important to note the number of days between dates and not to squash them any closer together otherwise the file will reject.**

## 10.3. Attachments

| | |
|---|---|
| **Attachment 1** | Test Trade File Template |
| **Attachment 2** | Supported Instruments for Testing Trades |

## 10.4. Microsoft Users – Accessing Files from SFTP Folders

### Using the Command Line

1. Accessing the command line:
   - **Command Prompt:**

     Press Windows + R, type cmd, and press Enter.
   - **PowerShell:**

     Search for and open "PowerShell" on the Start Menu.
2. Using the SFTP command, connect to the SFTP server:

   `sftp [username]@[hostname]`

   e.g. sftp user@example.com
   - Replace [username]: with your SFTP username.
   - Replace [hostname]: with the server's IP address or domain name.
   - You will be prompted for your password or SSH key authentication.

Once connected, you can use the following SFTP commands:

| Command | Description |
|---|---|
| put | Upload a file from your local machine to the SFTP server. |
| get | Download a file from the SFTP server to your local machine. |
| ls | List files and directories on the SFTP server. |
| cd | Change the current directory on the SFTP server. |
| mkdir | Create a new directory on the SFTP server. |
| rm | Remove a file or directory on the SFTP server. |
| ! command | Executes local commands on your Windows machine. |
| exit | Exits the SFTP shell and returns to the command line. |

### Using WinSCP

WinSCP is a popular SFTP client that provides a graphical user interface.

You can connect to the SFTP server through WinSCP's interface.

WinSCP allows you to transfer files, browse directories, and manage SFTP servers.

## Disclaimer