

Technology Upgrade Releases

November 2019 Update

EQUITIES (ASX) MARKET

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
ASX Trade					
Q2 2020 Release					
Mandatory	ASX Trade Refresh	This release will implement refreshed ASX Trade software and hardware For more information please see the following pages: ASX Trade Refresh documents	Yes	Mid 2020	Mid 2020

CLEARING AND SETTLEMENT SERVICES

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
CMS / OTC / Futures					
Q1 2020 Release					
Enhancement	Clearing Systems Service Release 20.2	<ol style="list-style-type: none"> Changes to Calypso reporting and Trade Accept PFG to display zero or negative rates Changes to Derivatives Clearing System to improve Corporate Action processes 	Yes	Feb 2020	Feb 2020
Enhancement	Clearing Systems Service Release 20.3	Service Release that delivers operational enhancements to support improved trade reporting, internal clearing and risk processes.	No	Mar 2020	Mar 2020
Austraclear					
Q4 2019 Release					
Informational	Austraclear – Service Release 8	Internal ASX Technical update for annual SWIFT release in Austraclear.	No	18 November 2019	18 November 2019

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
Q2 2020 Release					
Mandatory	Austraclear – Service Release 9	Service Release that delivers enhancements to the Austraclear business and provides operational efficiencies for the customer, including additional usability features for handling zero and negative interest rate and other process improvements. Contains GUI changes.	Yes	Q2 2020	Q2 2020

CHES Replacement

Q2 2021 Release					
Mandatory	CHES Replacement Industry Go Live	Go-Live of CHES Replacement on DLT (Day 1 functionality) For further information, please see the following link: CHES Replacement	Yes	April 2021	April 2021

DIGITAL

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
Q4 2019 Release					
Enhancement	ASXOnline Companies - Online Forms & Market Announcements Platform (Corporate Actions STP Phase 2)	Enhanced and new Company Announcements online forms in line with proposed Listings Rules changes with an effective date of 1 Dec 2019. This is subject to regulatory approval. Additional report types added to Market Announcements Platform. An update informing the customers of the Listing Rule reforms was published in the following link: Listed@ASX Compliance Update	Yes	30 November 2019	01 December 2019

Q1 2020 Release

Enhancement	Public Website	Redesigned, rewritten and rebuilt public website in line with market testing and feedback. https://www2.asx.com.au/	Yes	Q1 2020	Q1 2020
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INFRASTRUCTURE

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
Secondary Data Centre					
Q4 2019 Release					
Enhancement	Technical Enablement	ASX is moving its secondary data centre from the current location to a new facility. The new data centre will be commissioned for the 1 st of November	No	01 November 2019	01 November 2019
Enhancement	System migrations	ASX will commence relocation of equipment to the new data centre.	No	02 November 2019 – 31 May 2019	02 November 2019 – 31 May 2019
Mandatory	Customer Migrations	ASX will commence engagement with customers to plan the migration of circuit moves relating to the backup circuits to the new Data Centre. Further information will be made available at the Tech & Ops update on 6 November 2019.	Yes	23 November 2019 – 31 May 2020	23 November 2019 - 31 May 2020

RELEASES COMPLETED SINCE APR 2019

Release Type	Name	Business Go-Live
Equities (ASX) Market		
Enhancement	ASX Trade Service Release	08 Jul 2019
Clearing and Settlement Services		
Enhancement	C3PO.18.4 (OTC Service Release 3)	15 Apr 2019
Mandatory	Austraclear – Service Release 7	15 Jul 2019
Mandatory	ASX Collateral – Hardware/OS Upgrade	15 Jul 2019
Enhancement	C3PO.19.4.1 (CMS Database Upgrade)	08 Jul 2019
Enhancement	C3PO.19.4.2 (OTC & AONIA Service Release)	29 Jul 2019
Enhancement	C3PO.19.4.3 (CMS Service Release)	05 Aug 2019
Enhancement	Pricing Systems Service Release	01 Oct 2019
Enhancement	C3PO.20.1 (ZONYR changes to Clearing and Risk systems)	01 Oct 2019
Enhancement	Clearing Systems Service Release C3PO.20.2.1	28 Oct 2019
Information Services		
Enhancement	MAR Phase 2 – FIX Gateway Access	13 Apr 2019
Enhancement	Benchmarks Service Release 2	25 May 2019
Enhancement	Benchmarks Service Release 3	28 Oct 2019
Digital Services		
Enhancement	Public website - BETA	28 Jun 2019



ASX Mandatory Release Periods

ASX mandatory releases require all users and vendors to amend their applications that directly connect to the relevant ASX service. ASX may require accreditation of each application either in entirety or to capture the scope of the mandatory change.

ASX generally plans to implement no more than two Mandatory Releases [per service] per calendar year. These releases will typically be around 6 months apart and may be scheduled to coincide with regulatory changes mandated by ASIC. ASX may also need to schedule a Mandatory Release in the case of a critical production fault.

ASX may also implement one or more Enhancement Releases during the year. An Enhancement Release will not be scheduled within four weeks of a Mandatory Release.

Release Terminology

Enhancement Release – Enhancement releases are incremental updates without the need for users to upgrade all applications at the same time. This release is voluntary and enables users to prioritise business objectives and allocate resources as required.

Mandatory Release – Mandatory releases are required to be implemented by all users and vendors to upgrade all applications. A mandatory release may comprise any change, including improvements and corrections to the messaging structure, logic (API in some instances) or content associated with the relevant system.

Informational – This is not a release, but more of an item to be noted. This functionality may potentially have an impact as it is a change to existing business processes.

Technical Go-Live – Technical Go-Live is the date the release is installed into production. Functionality may be disabled until Business Go-Live.

Business Go-Live – Business Go-Live is the date when the functionality is enabled in production.

Associated Releases

ASX has an ongoing commitment to conduct disaster recovery testing across all ASX platforms. The ASX Business Continuity Management Testing Schedule is currently under review. The updated schedule will be published once it has been finalised.

Communication

Detailed documentation on the scope, technical specifications and projected timeframes for individual Mandatory and Enhancement releases will be provided by ASX no later than 90 days prior to the implementation date (unless required to do otherwise by a regulator or regulatory obligation, or to resolve a critical production issue). ASX will confirm the Go-Live date of each release by ASX Notice, generally at least two weeks prior to implementation (unless otherwise agreed with stakeholders).

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