

Technology Upgrade Releases

July 2020 Update

EQUITIES (ASX) MARKET

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
ASX Trade					
Q4 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	Oct 2020*	Oct 2020*

*Subject to confirmation

CLEARING AND SETTLEMENT SERVICES

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
CMS / OTC / Futures					
Q3 2020 Release					
Enhancement	Margin Enhancements	Extension of AUD 30 Minute CAP product expiries and minor enhancements to the margining approach for CAP products	No	3 Aug 2020	3 Aug 2020
Enhancement	Clearing Systems Service Release 20.3.3	OTC Initial Margin model enhancements – changes to the historical scenario shift method from relative percentage changes to absolute changes	Yes	10 Aug 2020	10 Aug 2020
Enhancement	Clearing Systems Service Release 20.3.4	Overnight Cash Rate – One Day Lag fix for OTC coupon calculations *Note: Exact timing for tech & business go-live tbc via email to participants by 7 Aug 2020	Yes	Aug 2020*	Aug 2020*

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
Informational	External Test Environment Update	Provide participants with the option to upgrade CQ1 (client workstation) to Windows 10. Setup will be available for testing in external test beds *Note: Exact timing for test availability dates tbc via email to participants by 7 Aug 2020	Yes	Aug 2020*	N/A
Enhancement	Clearing Systems Service Release 21.1	Enhancements to margining processes for AUD Electricity Swaption products *Date to be confirmed by 31 Aug 2020	Yes	28 Sep 2020	Not earlier than Dec 2020*
Enhancement	RISK Service Release 4	Transition of the 90 Day Bank Bill Futures from physical to cash settlement	Yes	31 Aug 2020	10 Sep 2020
		Change incorrect vol used in SPAN margining for ASX 24 Options – Put/Call Parity	Yes	31 Aug 2020	31 Aug 2020
Q4 2020 Release					
Enhancement	Clearing Systems Service Release 21.2	OTC mandatory CFTC regulatory reporting changes	Yes	Nov 2020	Nov 2020
		Listing of AUD 5 Year Treasury Bond Future	Yes	Nov 2020	Nov 2020
		OTC Clearing System Database Upgrade	No	Dec 2020	Dec 2020
Enhancement	BBSW Service Release 5	Change to BBSW publication method terminology for manual publication	No	Nov 2020	Nov 2020
		Enhancement to Bloomberg and Refinitiv publication for zero rates	No	Nov 2020	Nov 2020
Mandatory	Austraclear – Service Release 10	Enhanced Market Report module and connectivity Enhanced Linked Settlements Reports	Yes	Nov 2020	Nov 2020

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
CHES Replacement					
Q2 2022 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 2022, Subject to public consultation on implementation timetable	April 2022, Subject to public consultation on implementation timetable

RELEASES COMPLETED SINCE APRIL 2020

Release Type	Name	Business Go-Live
Clearing and Settlement Services		
Enhancement	Clearing Systems Service Release 20.4 <ul style="list-style-type: none"> Enhancements to OTC coupon cash flow calculations Enhancement to the OTC margin model to use absolute shifts rather than percentage shifts when calculating initial margin 	27 Jun 2020
Enhancement	Pricing Service Release – ASX Clear Futures <ul style="list-style-type: none"> Minor Daily Settlement Pricing Enhancements to last trade rules and other minor enhancements to the price determination process 	1 Jun 2020
Mandatory	Austraclear – Service Release 9 <ul style="list-style-type: none"> Support of Negative Rates Customer Access to RSA PIN Reset MT548 Market Repo 	1 Jun 2020
Digital Services		
Enhancement	Public Website – Investor Release	30 Jun 2020
Enhancement	ASXOnline Companies Online Forms & Corporate Action Notification ISO 20022 message	18 Jul 2020
Infrastructure		
Mandatory	Secondary DataCentre - Customer Migrations	27 Jun 2020



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. Refer to the [ASX Business Continuity Management Testing Schedule](#) on [asx.com.au](#).

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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