

ASX Austraclear System

Module - Administration

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This course is designed to provide you with the knowledge required to control your internal security in the use of the ASX Austraclear system.

You will learn how to create users and allocate users and proxies, authorise, maintain users and create sub accounts. In addition this course will also cover registering Standard Settlement Instructions (SSIs), agreements and participant maintenance.

Once you have reviewed this material you can then take the examination which is comprised of a number of multiple choice questions.

Administration Overview

In order for participants to maintain control over internal security, the ASX Austraclear system provides Administrators with the authority to carry out unique procedures.

The main role of an Administrator is to **create and maintain individual users** within the organisation by **allocating user roles and actions**.

Administrators can set temporary passwords for users who are logging on to the system for the first time or who are locked out of the system, and register SSIs and agreements for the organisation.

To ensure continuity in cases of an absent Administrator, ASX Austraclear recommends that participants allocate two individuals to act as Administrators.

Administrator roles include:

- *Setting Up Users*
- *Creating and Viewing Sub Accounts*
- *Setting up Standard Settlement Instructions.*

Setting Up Users

Administrators are responsible for setting up user details enabling access to the system.

This includes:

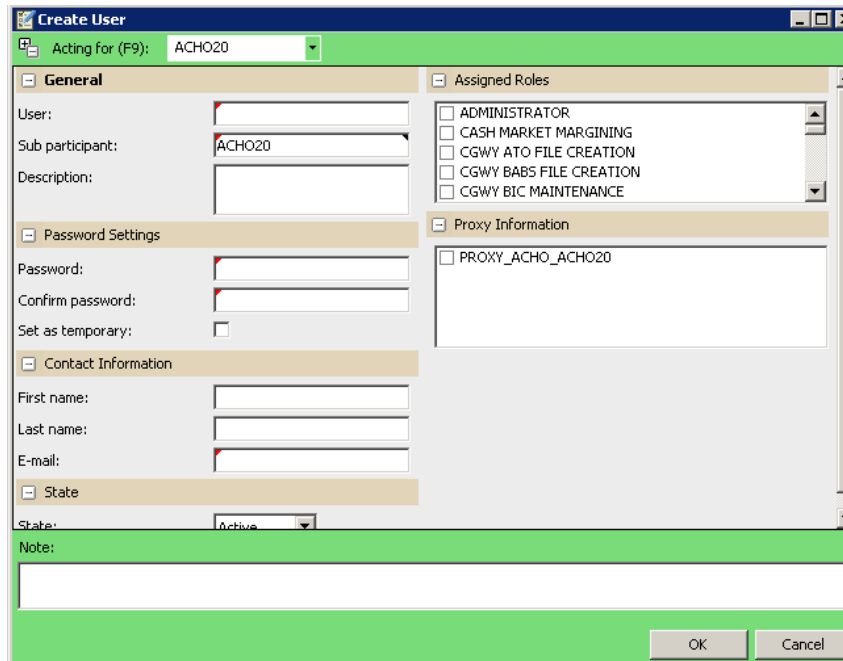
- creating a user,
- unlocking/resetting passwords,
- modifying user details; and
- inactivating/deleting a user.

Creating a User

To create a user:

1. Select **Sub Participants>Sub Participants Users Sub Accounts>Create User**.

This opens the *Create User* screen.



2. Enter user details.

For more information on fields, see [Appendix 1 – Create User Field Descriptions](#) in the Austraclear User Guide.

The following fields are mandatory:

- User
- Sub Participant
- Password
- Confirm Password
- Email.

A temporary password can be created by selecting *Set as temporary*. Upon initial logon, the user is forced to create a new password.

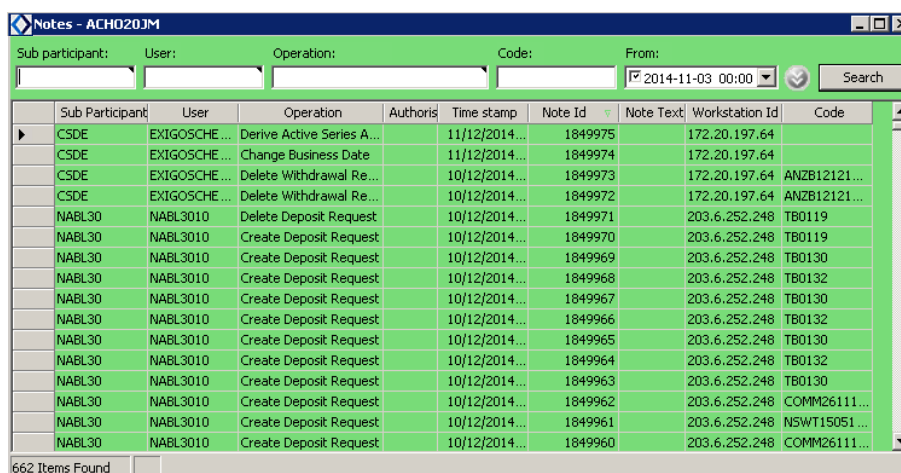
Each role in the system consists of user actions. Only roles can be assigned to users, not individual user actions. Administrators can assign one or more of the available roles to each of the users. To view all available roles in the system, select **Sub Participants>Roles>View**. Enter the required search criteria and click **Search**.

Each participant is allocated a group of roles according to the participant type.

At a minimum, a participant should be allocated the compulsory roles. This includes CL Compulsory Role and CP Compulsory Role.

In *Proxy Information* in the *Create User* screen, a list of available proxies for the user is displayed. Administrators can assign one or more of the available proxies to a user. To see the roles assigned to one or more of the available proxies, see *Viewing Available Roles for a Proxy* below.

The *Notes* frame populates the note text on the create user note in the View Notes. View notes is an audit trail of administrative actions.



Sub Participant	User	Operation	Authoris	Time stamp	Note Id	Note Text	Workstation Id	Code
CSDE	EXIGOSCHE...	Derive Active Series A...		11/12/2014...	1849975		172.20.197.64	
CSDE	EXIGOSCHE...	Change Business Date		11/12/2014...	1849974		172.20.197.64	
CSDE	EXIGOSCHE...	Delete Withdrawal Re...		10/12/2014...	1849973		172.20.197.64	ANZB12121...
CSDE	EXIGOSCHE...	Delete Withdrawal Re...		10/12/2014...	1849972		172.20.197.64	ANZB12121...
NABL30	NABL3010	Delete Deposit Request		10/12/2014...	1849971		203.6.252.248	TB0119
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849970		203.6.252.248	TB0119
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849969		203.6.252.248	TB0130
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849968		203.6.252.248	TB0132
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849967		203.6.252.248	TB0130
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849966		203.6.252.248	TB0132
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849965		203.6.252.248	TB0130
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849964		203.6.252.248	TB0132
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849963		203.6.252.248	TB0130
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849962		203.6.252.248	COMM26111...
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849961		203.6.252.248	NSWT15051...
NABL30	NABL3010	Create Deposit Request		10/12/2014...	1849960		203.6.252.248	COMM26111...

3. Click **OK**.

Once all the user details have been entered in the *Create User* screen, click **OK**.

4. Contact ASX Customer Service to apply for a unique digital certificate and RSA SecurID token for internet participants.

ASX Austraclear Client Services can be contacted on Austraclear@asx.com.au or 1300 362 257 (within Australia) or +61 2 8298 8474 (outside Australia) who will provide a certificate for the new user.

Once the certificate is received, the certificate can be enrolled. Enrolment instructions are emailed to the user with the Client Side Digital Certificate (CSDC) enrolment details.

Viewing Available Roles for a Proxy

A proxy is an arrangement where a sub participant gives permission to another sub participant to perform certain functionality in the system on its behalf. The sub participant receiving the rights is called the proxy agent and the sub participant granting the rights is called the proxy issuer.

A proxy is granted at the user level, and not the sub participant level. In other words, the roles assigned to a user at one sub participant can be assigned to a user at another sub participant. Each proxy contains a set of roles that have been assigned to a user at the proxy issuer sub participant. These roles are then assigned under the proxy to a user at the proxy agent. The proxy agent cannot split the set of roles, just distribute the whole package to one or more of its users. A user granted a proxy can act in the proxy by changing “hat”. However, all View and Explore user actions are aggregating, so the rights in all proxies are added together in these cases.

The proxy agent has to accept the proxy before it is available for distribution among its users. This is also the case if an existing proxy is modified and the proxy scope is increased, that is, more roles are included. A decrease of the proxy scope requires no confirmation from the agent and the modification is taken into effect immediately.

Proxies allow participants to perform transactions on behalf of their sub participants and other participants of the system.

Users can log on as the “parent” participant and “Act for” those sub participants and other participants which they are authorised to access.

When a proxy is assigned to a user, all of the roles attached to that proxy will also be assigned to that user.

Participants may have more than one active proxy with the same sub participant; however, each proxy relationship may contain different roles.

To view available roles for a proxy:

1. Select **Sub Participants>Proxies>View**. This opens the *Proxies* screen.
2. Specify the search criteria and click **Search**.

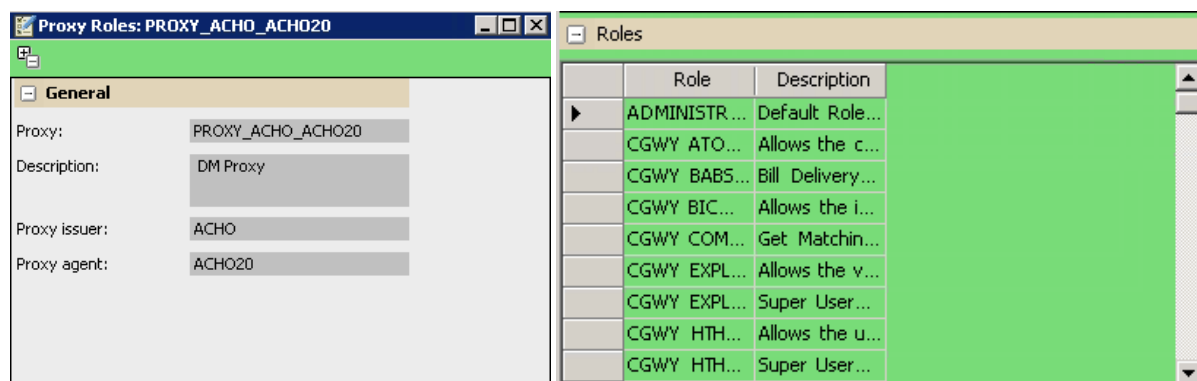
All the available proxies are displayed for the participant code.



Proxy	Proxy User	Description	Proxy Issuer	Proxy Agent	State
PROXY_ACEL20_4	PU_ACEL20_4		ACEL20	SGAL20	Deleted
PROXY_ACEL20_PA	PU_ACEL20...		ACEL20	CBAA20	Deleted
PROXY_ACHO_ACHO20	PU_ACHO_A...	DM Proxy	ACHO	ACHO20	Active
PROXY_ACHO20_ACHO	PU_ACHO20...	DM Proxy	ACHO20	ACHO	Active
PROXY_ACLR25_1	PU_ACLR25_1		ACL25	ACSL21	Active
PROXY_ACLR25_1A	PU_ACLR25...		ACL25	SFEC20	Active
PROXY_ACLR25_2	PU_ACLR25_2		ACL25	ACL20	Active
PROXY_ACLR25_2A	PU_ACLR25...		ACL25	SFEC20	Active
PROXY_ACLR25_3	PU_ACLR25_3		ACL25	SFEL20	Active
PROXY_ACLR25_5	PU_ACLR25_5		ACL25	ACL20	Active
PROXY_ACLR20_3	PU_ACLR20_3		ACL20	ACL20	Active

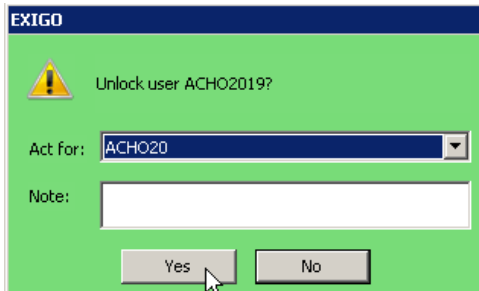
3. Select the required proxy.
4. Right-click and select **View Proxy Roles**.

This displays the *Proxy Roles* screen with all of the available roles for the selected proxy.



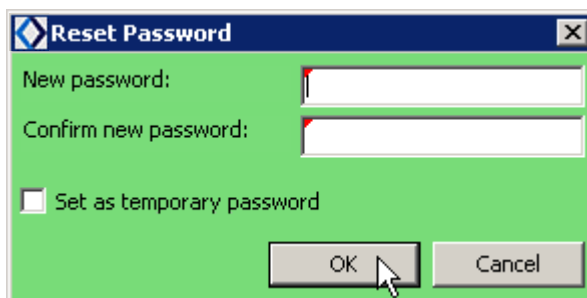
Role	Description
ADMINISTR...	Default Role...
CGWY ATO...	Allows the c...
CGWY BABS...	Bill Delivery...
CGWY BIC...	Allows the i...
CGWY COM...	Get Matchin...
CGWY EXPL...	Allows the v...
CGWY EXPL...	Super User...
CGWY HTH...	Allows the u...
CGWY HTH...	Super User...

Selecting **Unlock User** displays a dialogue box where the user can be unlocked. A note can be added in the *Note* field if required. Once details have been entered, click **Yes**.



Selecting **Reset Password** from the right-click menu enables a new password to be allocated.

This opens the *Reset Password* dialogue box where the new password can be added and confirmed. If it is a temporary password, select **Set as temporary password**. Once details have been entered, click **OK**.



Modifying User Details

Modifying user details can be performed by the participant's system administrator. However, if a participant's email address changes, it is important to notify ASX as reminders are sent to participants for renewing digital certificates.

To modify user details:

1. Select **Sub Participants>Sub Participants Users Sub Accounts>Explore**. This displays the *Sub Participant Explorer* screen.
2. Select **User** from the *View* pull-down menu.
3. Specify the required search criteria, and click **Search**.
4. Select the required user, right-click and select **Properties**. The *User* screen is displayed.
5. Modify user details as required.

The following may be modified:

- Contact Information
- State
- Assigned Roles
- Proxy information

The assigned roles for a user reflect the roles available for the participant. For example, CL = Clearing Participant, and CP = Cash Provider.

6. Click **OK**.

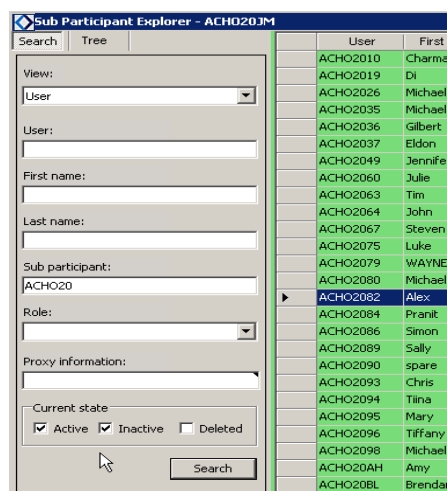
Inactivating or Deleting a User

Users that are no longer required may be inactivated or deleted. Deleted users cannot be reactivated or reused.

To inactivate or delete a user:

1. Select **Sub Participants>Sub Participants Users Sub Accounts>Explore**. This displays the *Sub Participant Explorer* screen.
2. Select **User** from the *View* pull-down menu.
3. Specify the required search criteria, and click **Search**.

To view all the active and inactive user states, ensure both **Active** and **Inactive** are selected for the current state. If Inactive is not selected, only the active states are displayed.

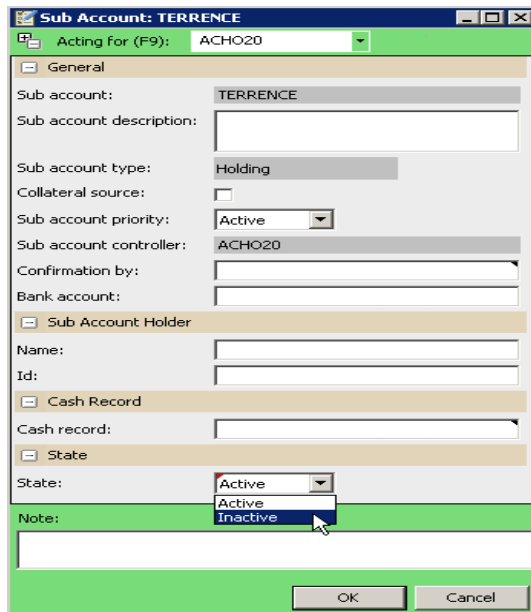


4. Inactivate or delete the user.

Inactivating a User

To inactivate an active user, select the required user, right-click and select **Properties**. Select the state

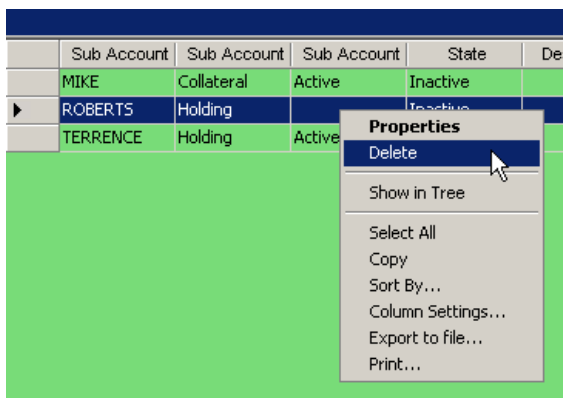
as *Inactive* and click **OK**.



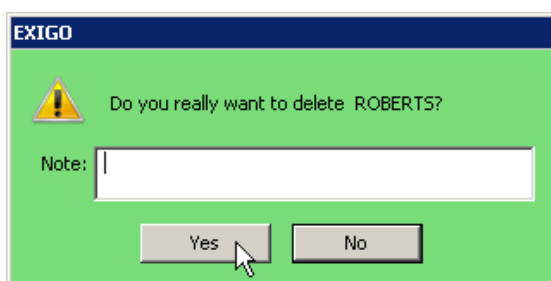
Deleting a User

In order to delete a user they must be in an **inactive** state.

To delete a user, right-click the selected user and select **Delete**.



Click **Yes** to confirm the deletion of the user. A note can be added if required.



Creating and Viewing Sub Accounts

Creating Sub Accounts

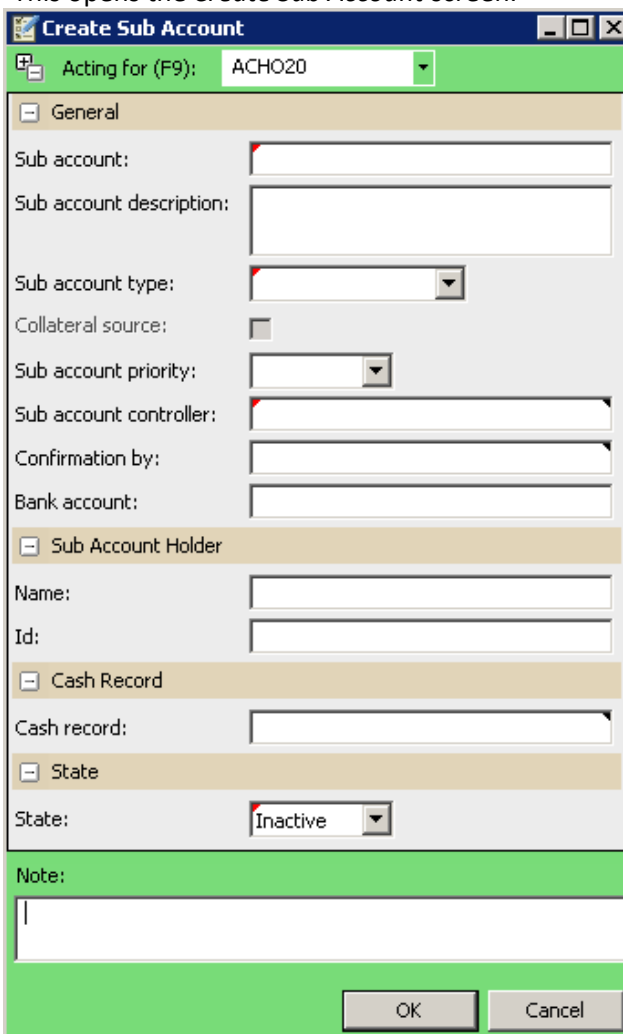
All participants must have at least one Holding type sub account.

With the **exception** of Associate participants, all participants can create multiple sub accounts within a valid Sub Account type.

To create a sub account:

1. Select **Sub Participants>Sub Participants User Sub Accounts>Create Sub Account**.

This opens the *Create Sub Account* screen.



2. Enter the required sub account details.

The following fields are mandatory:

- Sub Account
- Sub Account Type
- Sub Account Controller
- State.

The following fields are **not** applicable and should be ignored:

- Confirmation By
- Bank Account.

For more information on field descriptions, see [Appendix 2 – Sub Accounts Field Descriptions](#) in the Austraclear System user guide.

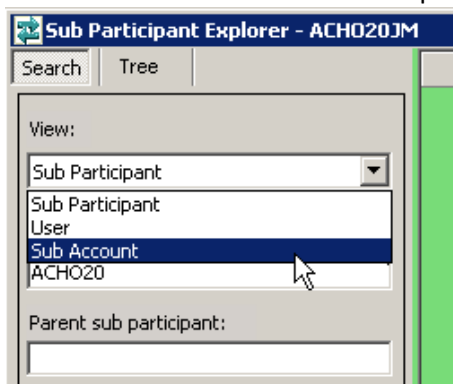
3. Click **OK**.

Once the required information has been entered, and click **OK**.

Viewing Sub Account Details

To view sub account details:

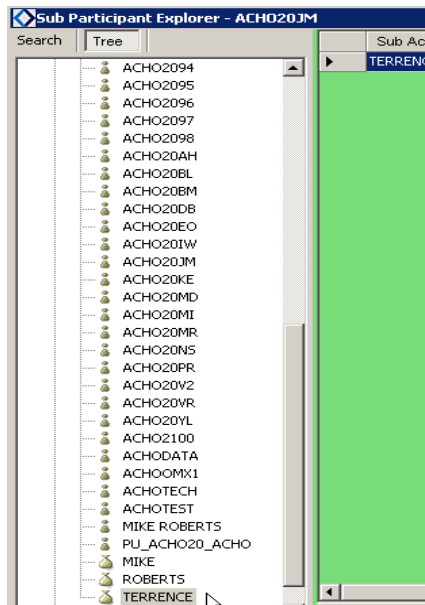
1. Select **Sub Participants>Sub Participants Users Sub Accounts>Explore**. This opens the *Sub Participant Explorer* screen.
2. Select **Sub Account** from the *View* pull-down menu.



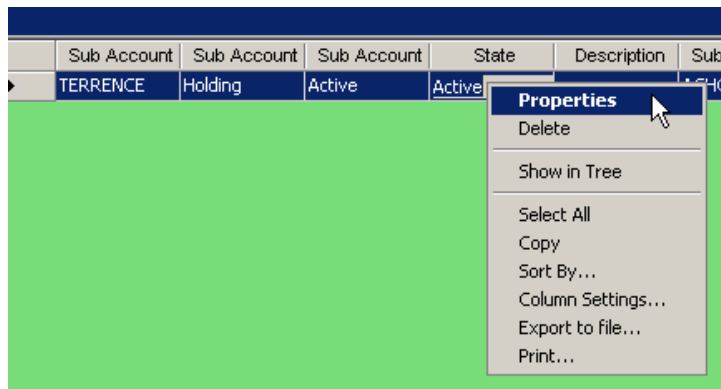
3. Click **Search**.

This displays the participant sub account details.

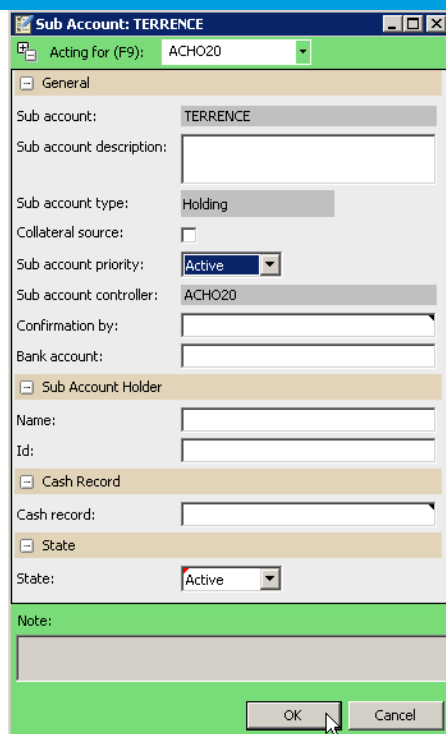
To view the participant sub account details in a tree structure, right-click the required sub account and select **Show in Tree**. This displays the participant's sub account details in a tree structure. Alternatively, click **Tree** next to *Search*.



4. Right-click on the participants sub account and select **Properties**.



Selecting **Properties** displays the Sub Account screen for the selected user. Click **OK** to exit the screen.



Setting up Standard Settlement Instructions

Registering Standard Settlement Instructions

Standard Settlement Instructions (SSIs) allow participants to register and store default payment and security instructions for each of their sub participants for different types of instruments, series and currencies.

It is not mandatory to register SSIs in the system. However, if no SSIs exist, trades will not proceed to settlement until a cash record and/or sub account is specified for that trade.

All users have the ability to register SSIs provided they have been assigned at least one of the trade entry related roles, e.g. CL DSS Trade.

The system is flexible in that it allows the registering of individual SSIs for each instrument type using different sub accounts and/or cash records, provided there is more than one sub account and cash record set up in the system. To nominate one sub account and cash record as the 'default' account for all transactions, the selection of an instrument type can be omitted and the sub account and cash record selected for the sub participant. This becomes the SSI the system defaults to every time a trade is entered for any instrument type.

When trades are created in the system, the SSI field defaults to 'Y' indicating that the cash will settle via the default cash record and sub account. If participants wish to select an alternate cash record and/or sub account on a transaction by transaction basis, they must select 'N' in the SSI field. The pull-down menu in the *Cash Record* and *Sub Account* fields may then be used to select from the list of available cash records and sub accounts.

Note:

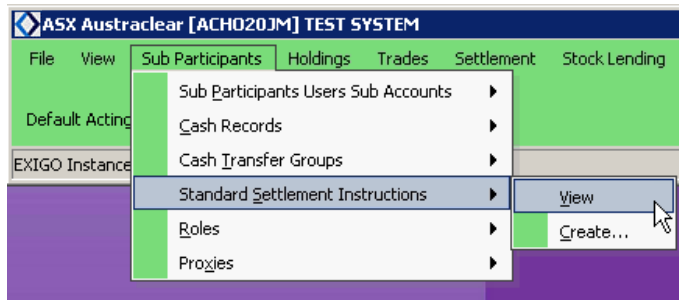


Associates have restricted access to the system and are only allowed to have one sub account and can only settle with full participants.

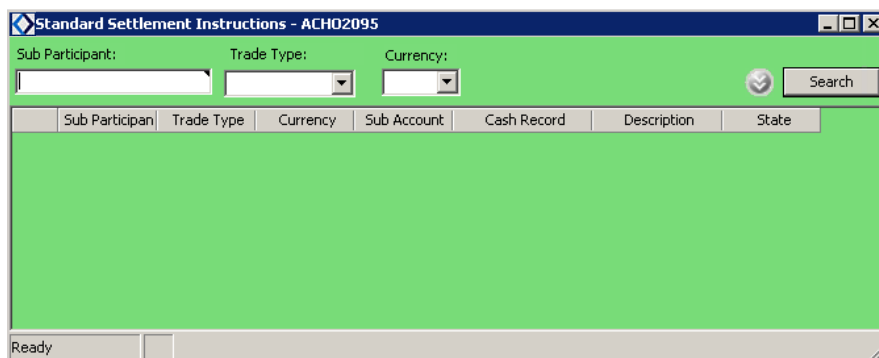
To register an SSI:

1. Select **Sub Participants> Standard Settlement Instructions>View**.

This displays the *Standard Settlement Instructions* screen.

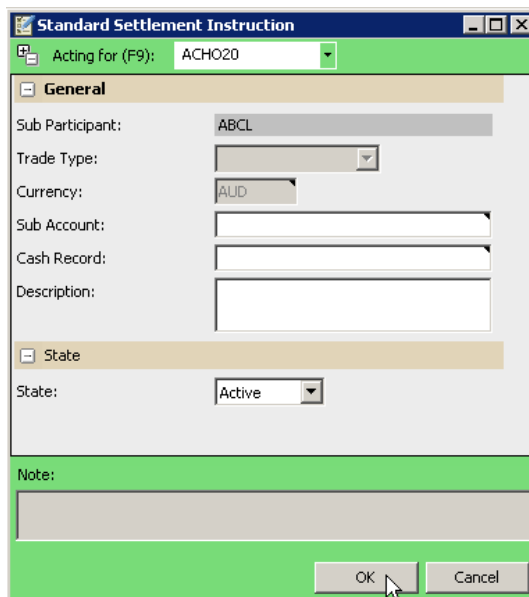


2. Enter search criteria and click **Search**.



3. Select the required Sub participant.
4. Right-click and select **Properties**.

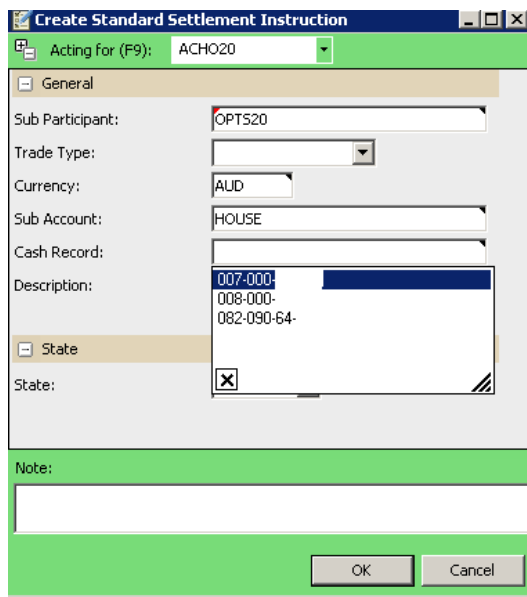
This displays the *Standard Settlement Instruction* screen.



5. Enter the required details in the *Standard Settlement Instruction* screen.

SSIs can be created for each instrument type, instrument class, series and currency, **or** registered at sub participant level only. The value can be ‘*’ which includes all values for the particular field.

For more information on naming conventions for creating SSIs, see [Appendix 3 – SSI Field Descriptions](#) in the Austraclear System user guide.



6. Click **OK**.

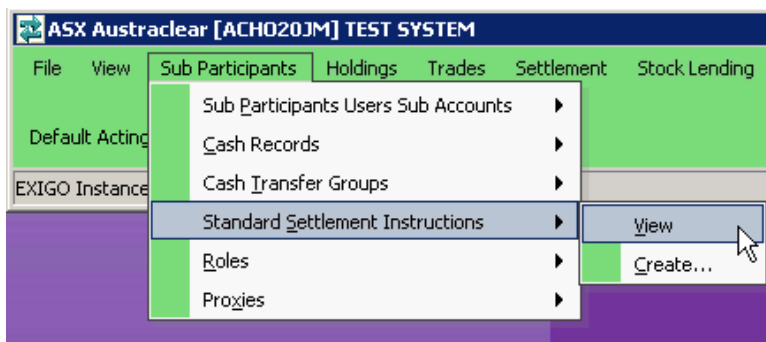
Once **OK** has been clicked, the screen disappears, and the SSI is automatically created in the system. For more information on how to view the created SSI, see *Viewing SSIs* below.

Amending or Deleting an Existing SSI

Amending an Existing SSI

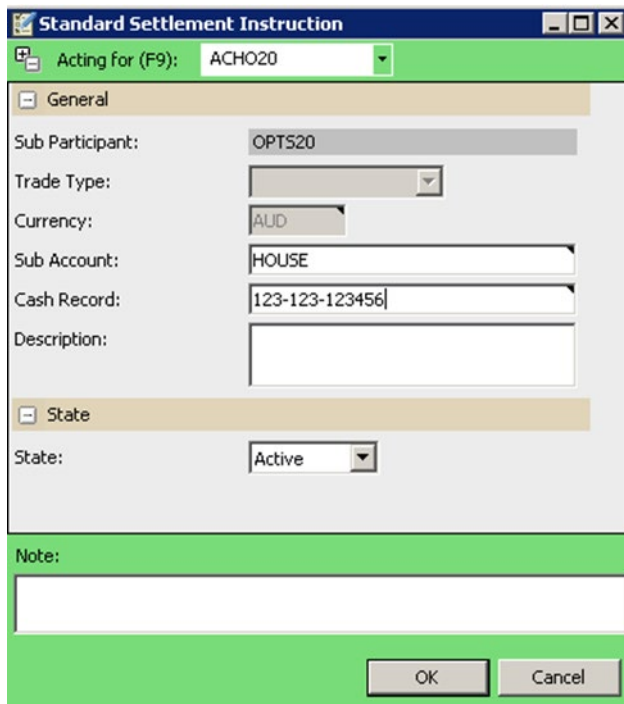
To amend an existing SSI:

1. Select **Sub Participant>Standard Settlement Instructions>View**.



2. Specify the search criteria, and click **Search**.
3. Select the required SSI.
4. Right-click and select **Properties**. This displays the *Standard Settlement Instruction* screen.

5. Select either **Active** or **Inactive** from the *State* pull-down menu.



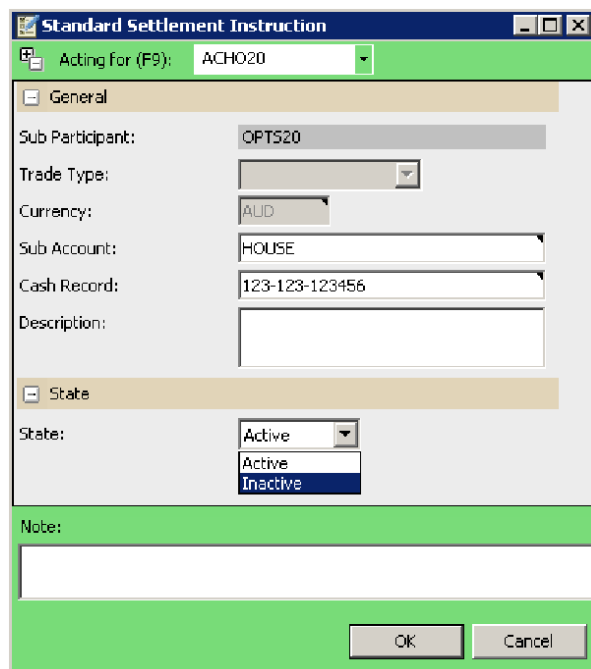
6. Amend any required details, and click **OK**.

Deleting an Existing SSI

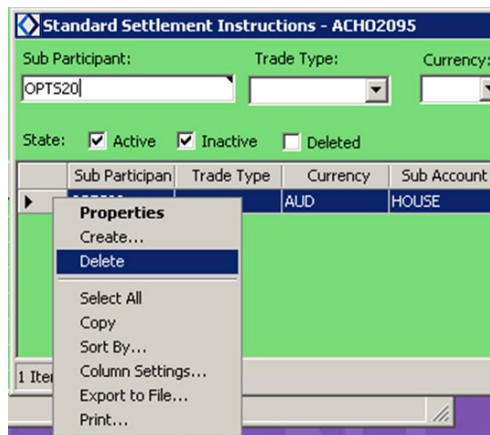
To delete an existing SSI:

1. Select **Sub Participant>Standard Settlement Instructions>View**.
2. Specify the search criteria and click **Search**.
3. Select the required SSI.
4. Right-click and select Properties. This displays the *Standard Settlement Instruction* screen.

5. Select **Inactive** from the *State* pull-down menu.



6. Click **OK**.
Wait until the SSI is inactive before moving to the following step.
7. Select the SSI, right-click and click **Delete**.



Viewing SSI Versions

To view SSI versions:

1. Select **Sub Participants>Standard Settlement Instructions>View**. This displays the *Standard Settlement Instructions* screen.
2. Specify the search criteria and click **Search**.

Participant Details

Maintaining Participant Details

Participant contact details include contact names, addresses, email addresses and telephone and fax numbers. These must be maintained by the Password Administrator.

Administrators are responsible for recording the Tax File Number (TFN) and Australian Company Number (ACN), or Australian Business Number (ABN) details on the system for each of their sub participants. For security purposes the TFN number is masked and appears as *****.

If the ABN or TFN is not recorded, withholding tax is deducted from the coupon interest payments at the withholding tax rate. If the ABN is recorded in place of the TFN, then withholding tax will not be deducted.

For the participant to claim an exemption, one of the following codes should be entered in the TFN field:

- 555 555 555 - This is not required to lodge a return. Refer to section 23(d) of the Income Tax Assessment Act.
- 666 666 666 – This is a claiming exemption. Refer to section 202(d) of the Income Tax Assessment Act.

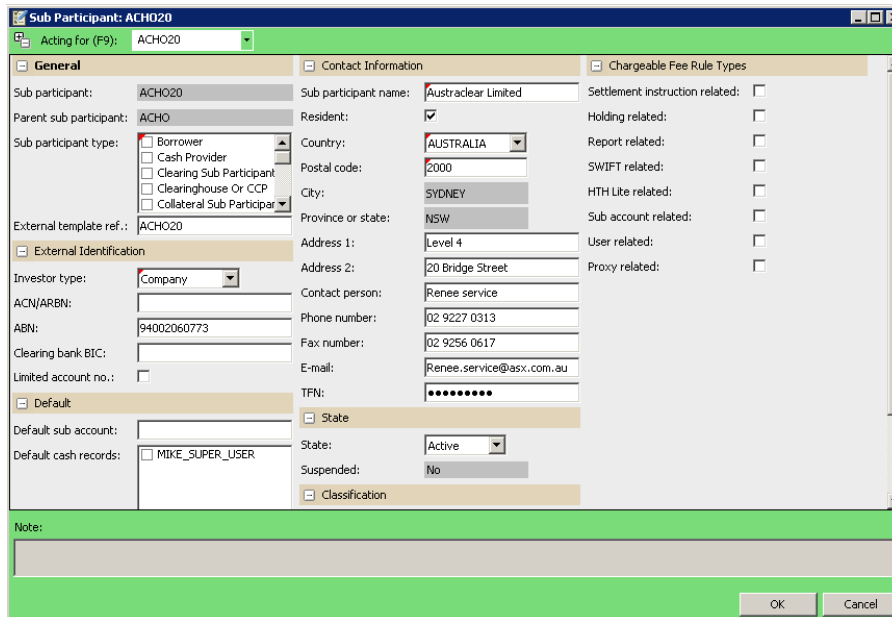
To maintain participant details and record the TFN, ACN/ARBN or ABN:

1. Select **Sub Participants>Sub Participants Users Sub Accounts>Explore**. This displays the *Sub Participant Explorer* screen.
2. Select **Sub Participant** from the *View* pull-down menu.
3. Specify the search criteria and click **Search**. The participant details are displayed.
4. Select the sub participant, right-click and select **Properties**.

This displays the *Sub Participant* screen with the properties for the selected sub participant.

Sub participants contact information such as name, email address, address, TFN etc. can be added in the *Contact Information* frame.

For more information on the fields, see [Appendix 4 – Participant Field Descriptions](#) in the Austraclear System user guide.



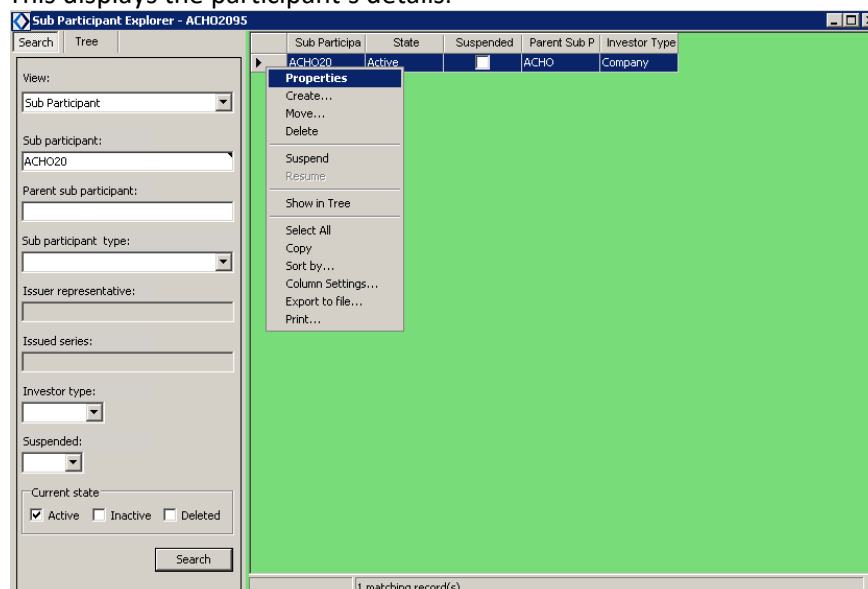
5. Click **OK**. This closes the *Sub Participant* screen.

Viewing Participant Details

To view participant details:

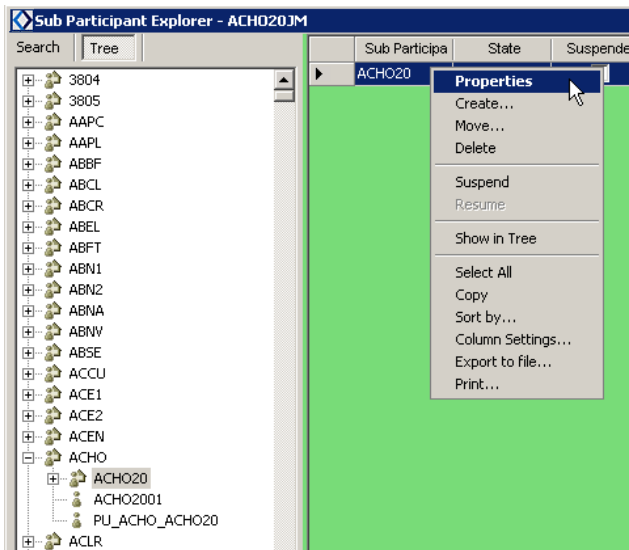
1. Select **Sub Participant>Sub Participants Users Sub Accounts>Explore**.
2. Select **Sub Participant** from the *View* pull-down menu.
3. Specify the search criteria.
4. Click **Search**.

This displays the participant's details.



To see in a tree structure, select the required sub participant, right-click and select **Show in Tree**.

Alternatively, select the *Tree* tab. This displays the sub participant's details in a tree structure.



5. Select the required participant.
6. Right-click and select **Properties**.

This displays the sub participant's details in the *Sub Participant* screen.

Authorisations (Administration Functions Only)

Authorising and Rejecting Actions Pending Authorisation

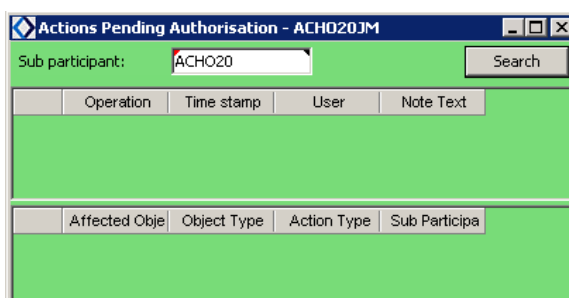
Authorisation is available on the following administration actions:

- Create and Modify Sub Accounts
- Create and Modify User
- Modify Sub Participant
- Create and Modify Series
- Create Series Delegated.

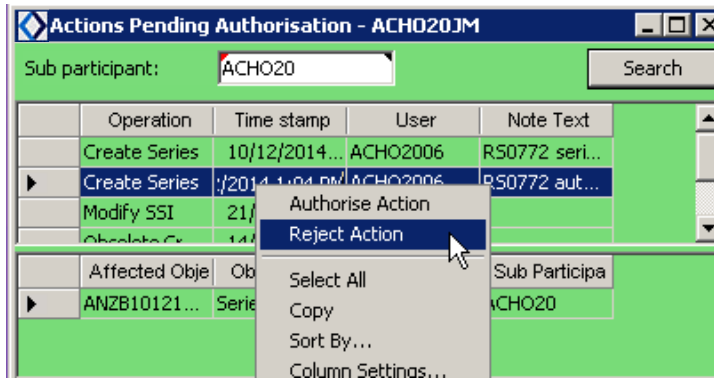
A user cannot authorise an administration action themselves. An alternate user must authorise those actions.

To authorise or reject actions pending authorisations:

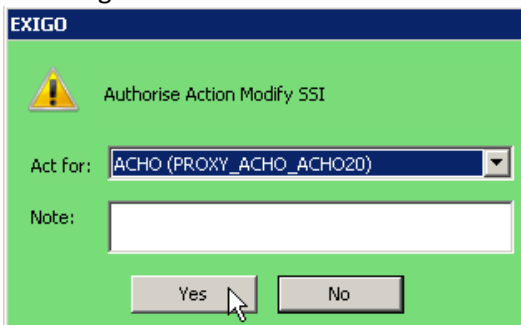
1. Select **Administration>Authorisations>View Actions Pending Authorisation**. This displays the *Actions Pending Authorisation* screen.



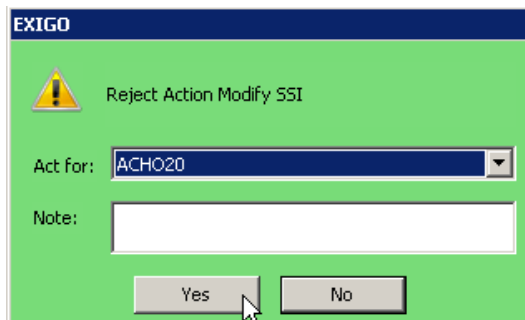
2. Click **Search**.
3. Select the required action.
4. Right-click and select **Authorise Action** or **Reject Action**.



5. Selecting **Authorise Action** enables the selected action to be authorised by clicking **Yes**.



6. Selecting **Reject Action** enables the selected action to be rejected by clicking **Yes**.



For more information on authorisation fields, see [Appendix 5 – Authorisations Field Descriptions](#) in the Austraclear System user guide.

Viewing Notes (For Audit Purposes)

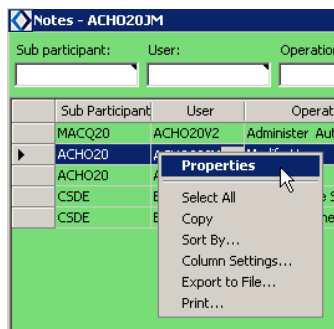
When Administrators perform actions such as ‘Creating a User’, ‘Modifying a User’ or ‘Modifying Participant details’, a ‘note’ is automatically created in the system. This note includes details of the action performed, the user who performed it and the time it was performed.

If an existing user is modified or participant details are updated, it is possible to view the note both before and after a change was made.

The *Note* screen is archived in the system for 90 days, therefore allowing participants to keep a record of their Administrator’s activity for audit purposes.

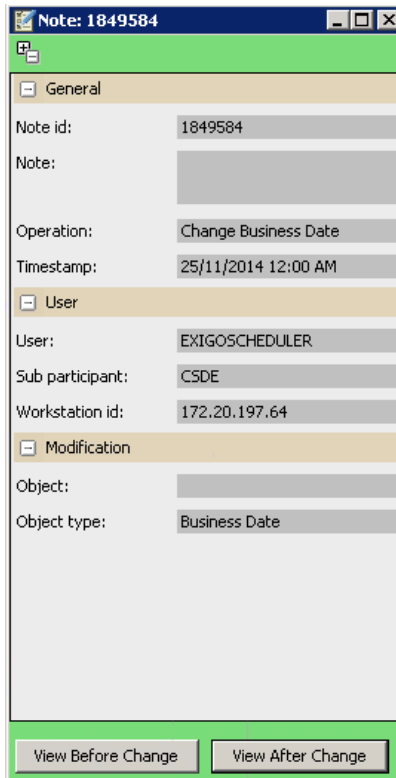
To view notes created by the system for administration purposes:

1. Select **View>Notes**. This opens the *Notes* screen.
2. Specify the required search criteria and click **Search**. A list of all notes is displayed.
3. Select the required note.
4. Right-click and select **Properties**.
5. This displays the *Note* screen with details of the action.



6. Click **View Before Change** or **View After Change** to display note details.

Clicking **View Before Change** displays the details before the change was made, and clicking **View After Change** displays the changes that were made. The two screens can then be viewed for any changes.



Note: 1849584

General

Note id: 1849584

Note:

Operation: Change Business Date

Timestamp: 25/11/2014 12:00 AM

User

User: EXIGOSCHEDULER

Sub participant: CSDE

Workstation id: 172.20.197.64

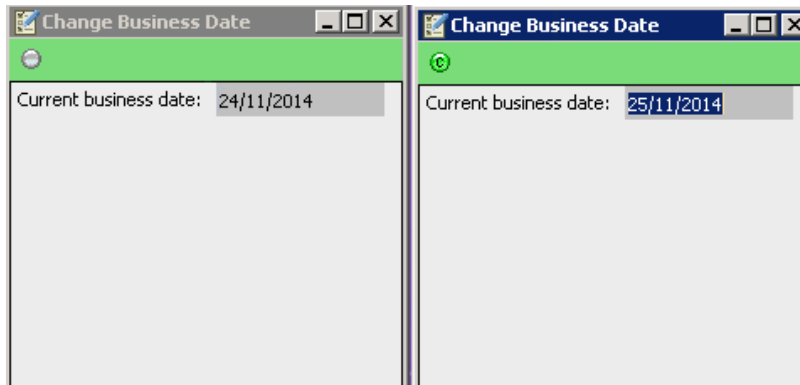
Modification

Object:

Object type: Business Date

View Before Change View After Change

Note, depending on what item is selected in the *Notes* screen determines the screens displayed.



Change Business Date

Current business date: 24/11/2014

Change Business Date

Current business date: 25/11/2014

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