

# User Guide: ASX CHESS Statements Portal

This guide shows you how to set  
up and use the ASX CHESS  
Statements Portal.

November 2021

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# What is the ASX CHESS Statements Portal?

The ASX CHESS Statements Portal is a secure platform where you can view your CHESS holding statements and notifications.

**IMPORTANT NOTE: To access the portal, you will need to opt in via your broker.**

Once your request to opt in has been processed by your broker, you can use the portal to:

- Register your account to receive electronic CHESS holding statements and notifications;
- View your CHESS holding statements and notifications;
- Access up to seven years of historical CHESS holding statements and notifications; and
- Change your username and password.

## Creating accounts in the ASX CHESS Statements Portal

### One account per Holder Identification Number (HIN)

If you've opted in to receive ASX electronic communications via your broker, you will receive an email requesting that you set up an ASX account. When setting up your account, you will need to select a unique username and password which will be associated with your HIN.

### Confirmation of successful opt in

If you have an existing HIN, once opted in, you will be sent a printed notification confirming your change in communication preference to the mailing address on file. You will also receive an email communication from [notifications@statements.asx.com.au](mailto:notifications@statements.asx.com.au) confirming that you have opted in to electronic communications.

This email is for security and fraud prevention purposes, and does not include any details on the registration process. The registration process, as detailed below, will commence when the first electronic CHESS holding statement or notification is available for you to view.

If you have a new HIN, once opted in you can register to use the portal by following the steps outlined below:

### How to register your account

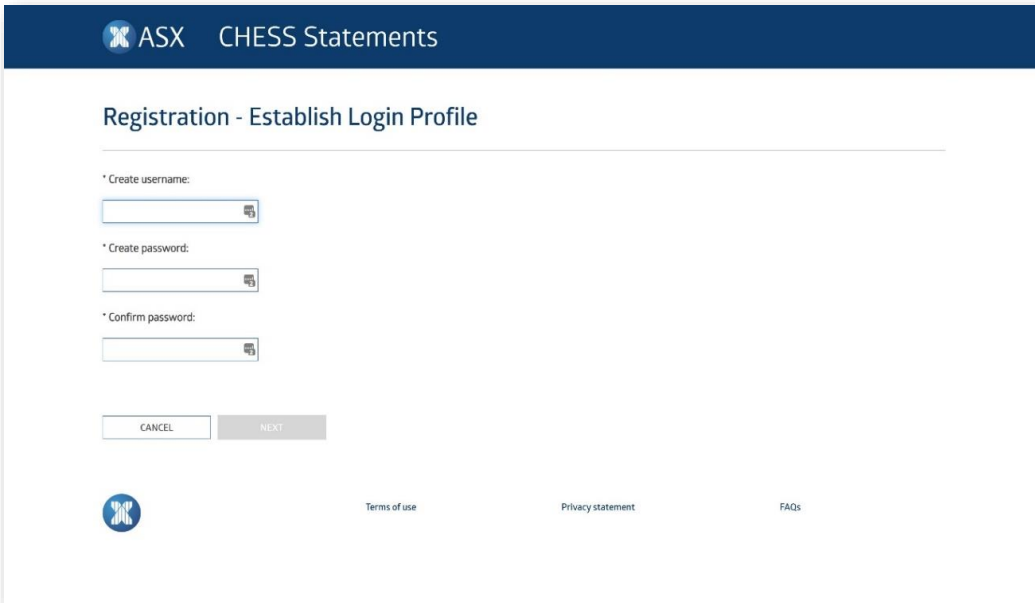
You will receive a registration email confirming that your ASX CHESS Statements Portal account has been created. The email will include a unique registration link.

There is no expiry on this registration link. However, if you need the registration link to be resent, please request one from the ASX Customer Service team via email at: [info@asx.com.au](mailto:info@asx.com.au). Please include in your email both the HIN and email address associated with the account registration.

## Step 1 – Getting started

When you click **ACTIVATE** (unique registration link) in the registration email, you will be directed to this screen to create your new login details:

### ASX CHESS Statements Portal – create username and password page



While creating a username and password, please ensure they meet the following criteria:

#### Username

For security reasons, your **username** must:

- Be unique;
- Not be your HIN, or email address;
- Be a minimum of 8 and a maximum of 20 characters in length;
- Be lowercase letters (a-z) or digits (0-9); and
- Not be all numeric.

#### Password

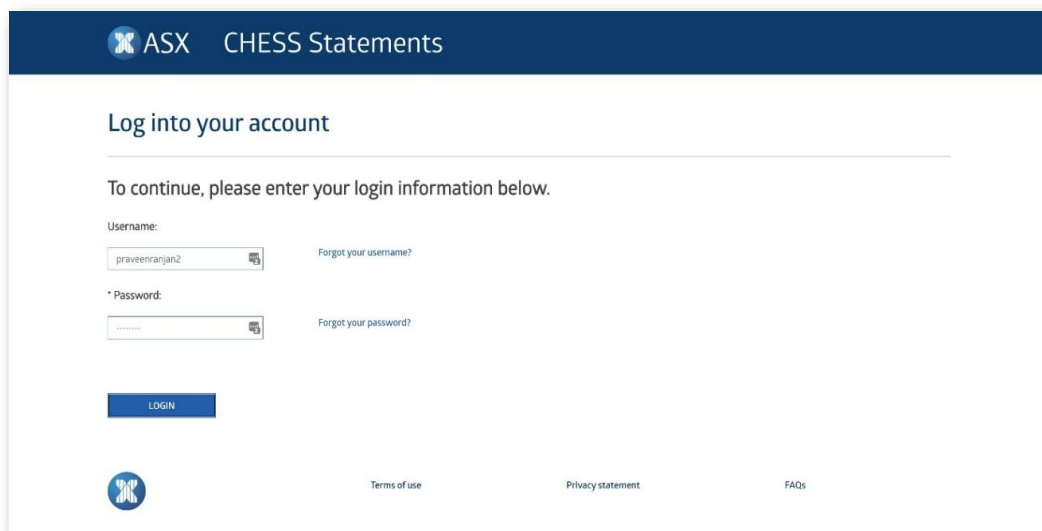
To meet the ASX password policy requirements, your **password** must:

- Be between 8 and 64 characters in length;
- Include at least one uppercase character;
- Include one lowercase character;
- Include one numeric digit;
- Include one special character (e.g. !, @, #);
- Have no spaces;
- Not contain 3 or more consecutive characters that are the same (e.g. '111' or 'BBB');
- Not contain 3 or more consecutive characters that are sequential (e.g. '123' or 'XYZ'); and
- Not come from a list of commonly used passwords (e.g. a pet's name, password, qwerty, etc.).

## Step 2 – Confirm your account login details

Once you've created your new login and password, you will be emailed a validation code and link to confirm these details via the login page:

### ASX CHESS Statements Portal – registration login page



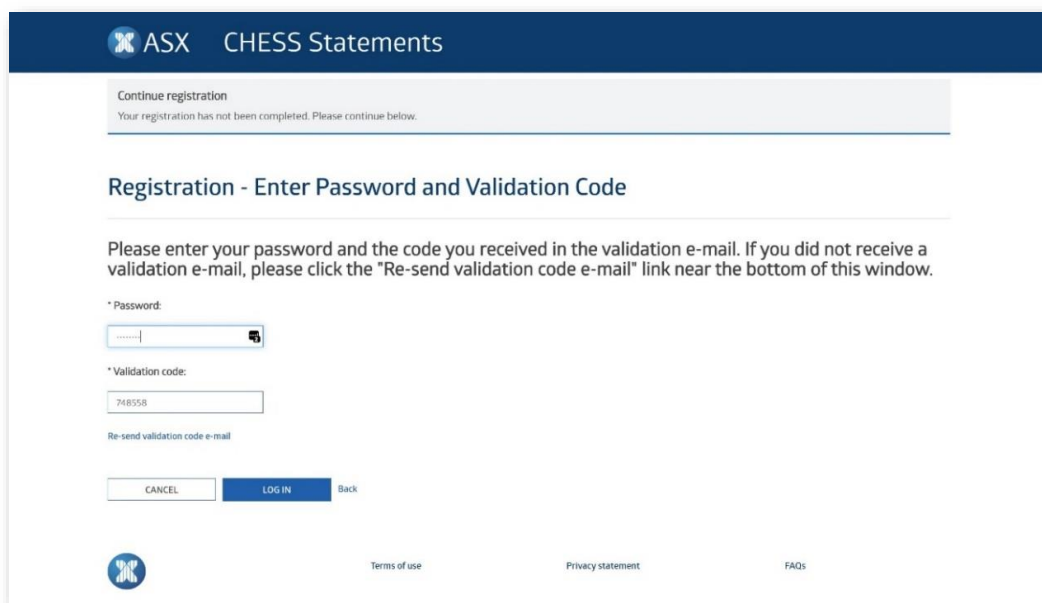
The screenshot shows the 'Log into your account' page. At the top, there is a dark blue header with the ASX logo and 'CHESS Statements'. Below the header, the page title is 'Log into your account'. A message reads: 'To continue, please enter your login information below.' There are two input fields: 'Username:' with the value 'praveenranjan2' and a 'Forgot your username?' link; and '\* Password:' with a masked password and a 'Forgot your password?' link. A blue 'LOGIN' button is positioned below the password field. At the bottom, there is a footer with the ASX logo, 'Terms of use', 'Privacy statement', and 'FAQs' links.

**Note:** If you are unable to enter your password correctly, for security purposes, your account will be locked for 10 minutes after the 3rd unsuccessful attempt. You may attempt to complete your registration after this timeframe or reset your password.

## Step 3 – Complete your account validation

After you've entered your new login details, the below screen will appear. Enter your password and the validation code that was emailed to you, then click **LOG IN**.

### ASX CHESS Statements Portal – registration validation page



The screenshot shows the 'Registration - Enter Password and Validation Code' page. At the top, there is a dark blue header with the ASX logo and 'CHESS Statements'. Below the header, there is a grey box with the text: 'Continue registration. Your registration has not been completed. Please continue below.' The main heading is 'Registration - Enter Password and Validation Code'. A message reads: 'Please enter your password and the code you received in the validation e-mail. If you did not receive a validation e-mail, please click the "Re-send validation code e-mail" link near the bottom of this window.' There are two input fields: '\* Password:' with a masked password and a 'Re-send validation code e-mail' link; and '\* Validation code:' with the value '748558'. Below the validation code field, there is a 'Re-send validation code e-mail' link. At the bottom, there are three buttons: 'CANCEL', 'LOG IN', and 'Back'. At the bottom of the page, there is a footer with the ASX logo, 'Terms of use', 'Privacy statement', and 'FAQs' links.

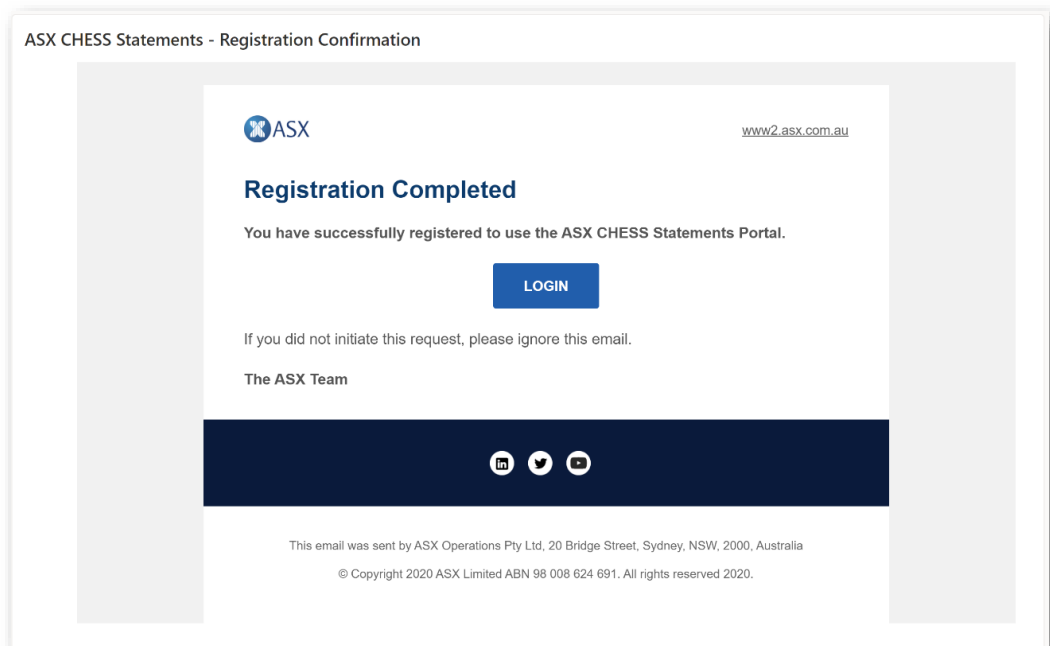
**Note:** If you are unable to either enter your password or validation code correctly, for security purposes, your account will be locked for 10 minutes after the 3rd unsuccessful attempt. You may attempt to complete your registration after this timeframe or, in case of password failure, reset your password.

Next, a page will confirm if your registration has been successfully completed. You can now click on the **LOGIN** button to go back to the login page and login to the portal using your username and password.

#### Step 4 – Complete your registration

Once you've successfully logged in, you will receive an email notification confirming you have successfully registered to use the ASX CHESS Statements Portal.

#### ASX CHESS Statements Portal – registration confirmation email



#### Regular email communications

Once you've successfully set up your account, you will receive an email:

- at the end of any month where a transaction has occurred to advise you that your **CHESS holding statements** are available; and
- at the beginning of the week when a **demand statement request** has been processed.

For **CHESS notifications**, you will receive one email for each CHESS notification **within two (2) business days** of the CHESS notification being uploaded to the portal. For example, if your sponsoring participant (broker) submits a change of address and a change of sponsored holder message on the same day, you will receive two notification emails within two (2) business days of when these events have been processed.

## How to find information in the ASX CHESS Statements Portal

### How to view, search for and filter documents

If the historic documents are available, you will be able to view and download up to seven (7) years of your CHESS holding statements and notifications using a date range-search (see example screen below).

You will be able to view historical statements and notifications that were issued after your registration date. Any statements issued prior to this will not be available in the portal. The default view will show your past three (3) months of CHESS holding statements and notifications.

You can search and filter the documents using these fields:

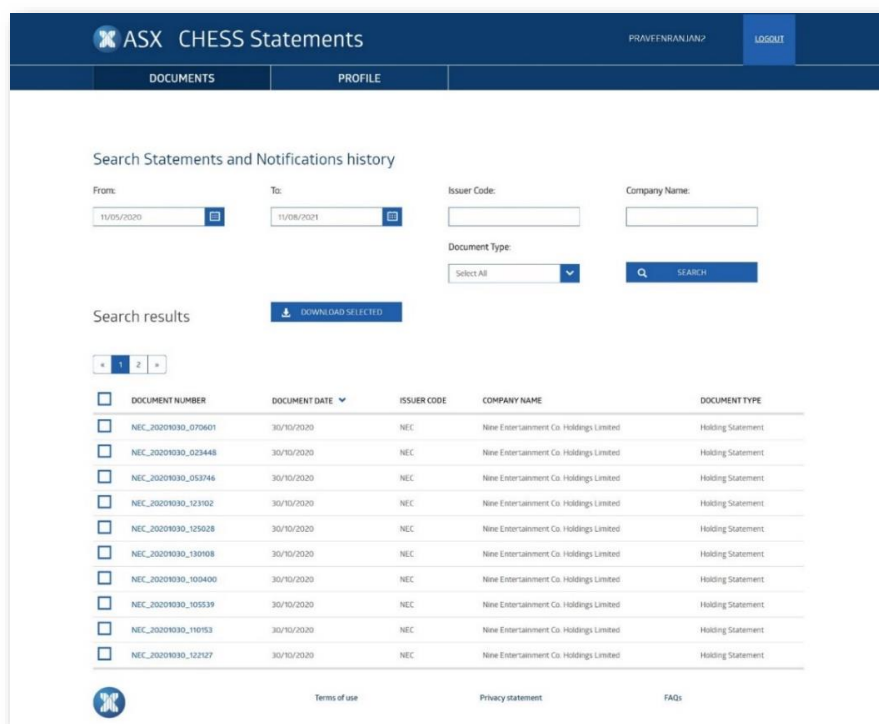
- **From:** – start date of date range;
- **To:** – end date of date range;
- **Issuer code:** – free text, partial match;
- **Company name:** – free text, partial match; and
- **Document category:** – dropdown, exact match.

Based on the search criteria, documents will be listed in a tabular format, and will include these fields:

- **DOCUMENT NUMBER**
  - Statement: Issuer code + document date (yyyymmdd) + 6-digit timestamp;
  - Notification: 'Notif' + notification ID + document date (yyyymmdd) + 6-digit timestamp;
- **DOCUMENT DATE** – the date the document was received;
- **ISSUER CODE** – CHESS notifications which do not have an issuer code will be left blank;
- **COMPANY NAME** – CHESS notifications which do not have a company name will be left blank; and
- **DOCUMENT CATEGORY** – Holding Statement or Notification.

To view the document, you simply click the **document number**. Alternatively, you can choose one or multiple documents, and then click **DOWNLOAD SELECTED** to download a .zip file of the chosen documents.

### ASX CHESS Statements Portal – documents page



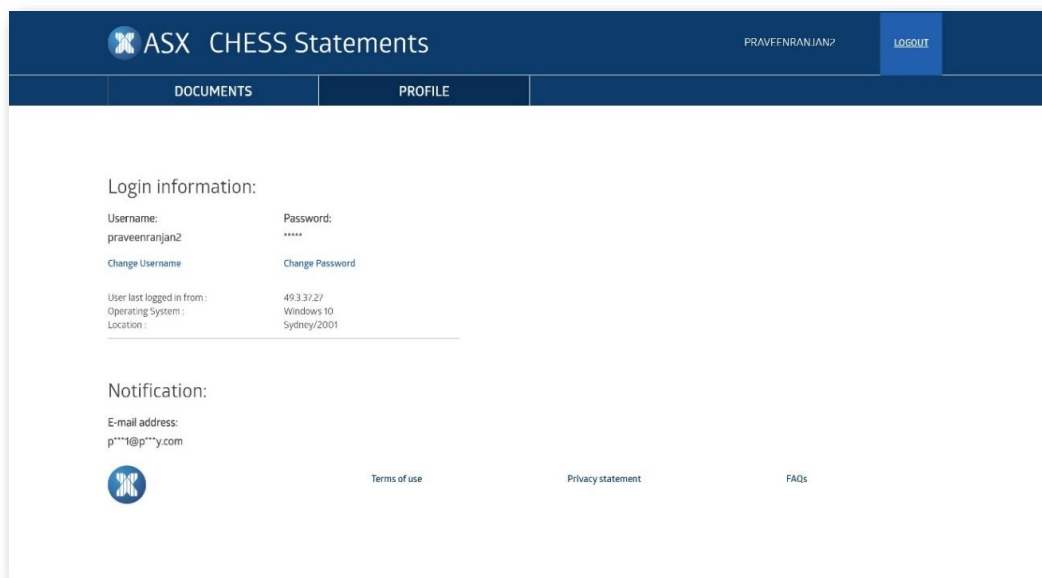
The screenshot shows the ASX CHESS Statements Portal interface. At the top, there is a navigation bar with the ASX logo and 'ASX CHESS Statements' text. Below this is a header with 'DOCUMENTS' and 'PROFILE' tabs. The main content area is titled 'Search Statements and Notifications history'. It features search filters for 'From' (11/05/2020), 'To' (11/08/2021), 'Issuer Code', and 'Company Name'. There is also a 'Document Type' dropdown menu set to 'Select All' and a 'SEARCH' button. Below the search filters is a 'Search results' section with a 'DOWNLOAD SELECTED' button. The search results are displayed in a table with columns: DOCUMENT NUMBER, DOCUMENT DATE, ISSUER CODE, COMPANY NAME, and DOCUMENT TYPE. The table contains 12 rows of data, all with a 'Holding Statement' document type and 'New Entertainment Co. Holdings Limited' as the company name.

DOCUMENT NUMBER	DOCUMENT DATE	ISSUER CODE	COMPANY NAME	DOCUMENT TYPE
NEC_20200930_079601	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement
NEC_20200930_023448	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement
NEC_20200930_053746	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement
NEC_20200930_123102	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement
NEC_20200930_125028	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement
NEC_20200930_130108	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement
NEC_20200930_100400	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement
NEC_20200930_105539	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement
NEC_20200930_110153	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement
NEC_20200930_121217	30/10/2020	NEC	New Entertainment Co. Holdings Limited	Holding Statement

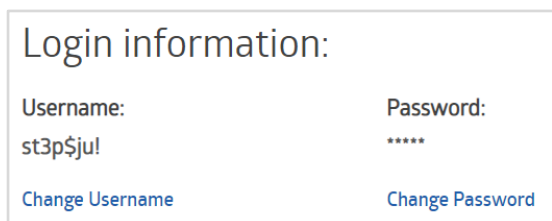
## How to change your username or password

Clicking on the **PROFILE** tab will open the profile page where you can view and update your profile information.

### ASX CHESS Statements Portal – profile page



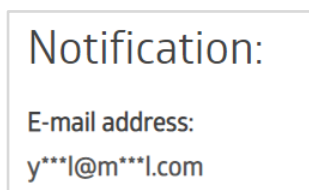
Using this page, you can view and change your username or change your password.



You can also view details from your last login activity, which includes your IP address, device information and location. For example:

User last logged in from :	12.23.34.45
Operating System :	Windows 10
Location :	Sydney/2000

In the Notification section, you can view a censored version of the email address linked to the account you are logged in to. This is the email address where you will get all your account related notifications.

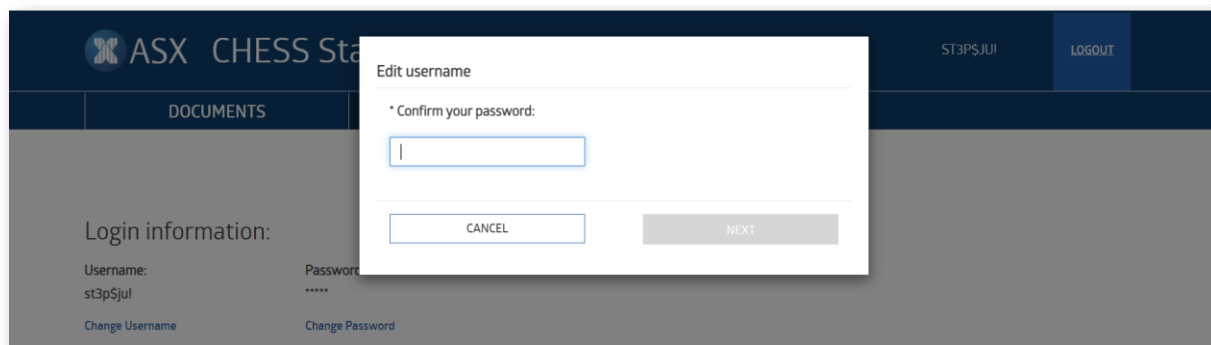




## Change Username

To change your username, click on the **Change Username** link in the Login information section of the profile page.

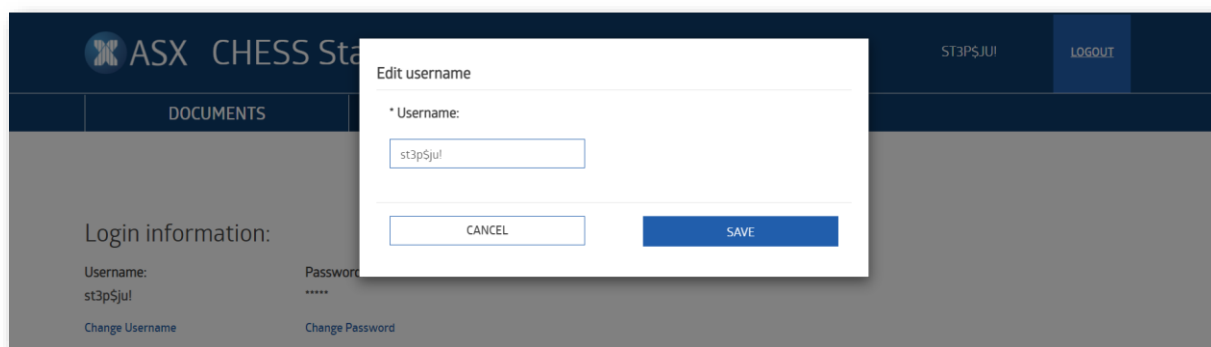
You will be asked to confirm your password before you can change your username.



The screenshot shows the ASX CHESS Statements Portal interface. A modal dialog box titled "Edit username" is open. It contains a label "\* Confirm your password:" followed by a text input field. Below the input field are two buttons: "CANCEL" and "NEXT". In the background, the "Login information:" section is visible, showing the current username "st3p\$ju!" and a "Change Username" link.

Once you have entered your correct password, the username field will show your current username where you can enter a new username. Make sure the new username conforms to the username policy and click **SAVE**.

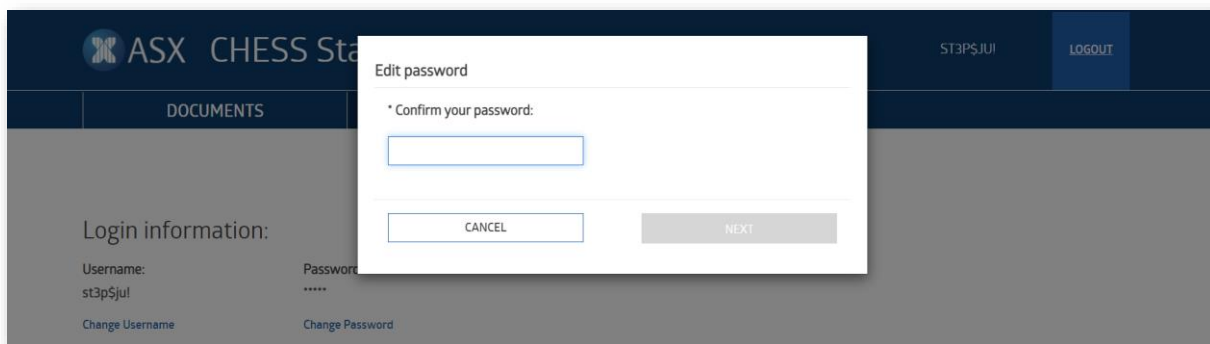
A message on screen will confirm your username has been successfully changed.



The screenshot shows the ASX CHESS Statements Portal interface. A modal dialog box titled "Edit username" is open. It contains a label "\* Username:" followed by a text input field containing the current username "st3p\$ju!". Below the input field are two buttons: "CANCEL" and "SAVE". In the background, the "Login information:" section is visible, showing the current username "st3p\$ju!" and a "Change Username" link.

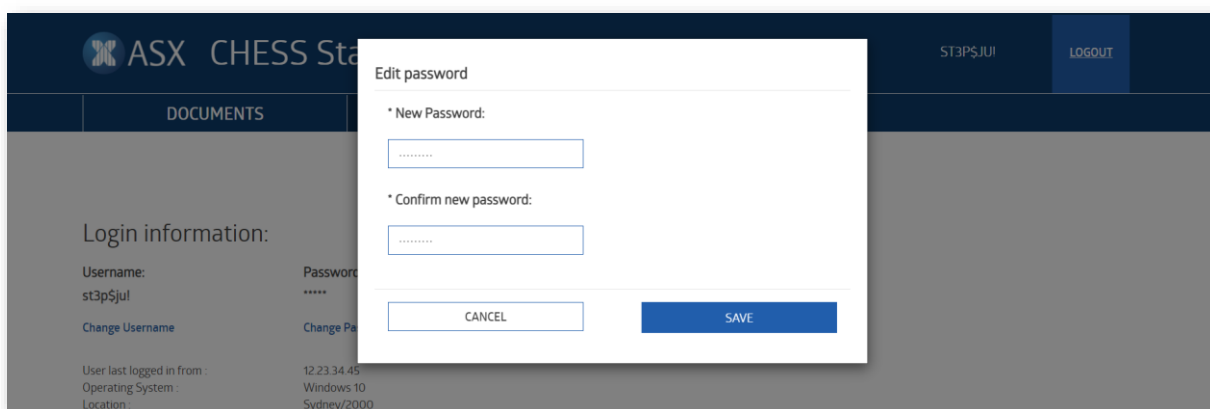
## Change Password

To change your password, click on the **Change Password** link in the Login information section of the profile page. You will be asked to confirm your password before you can change your password.



Once you have entered your correct password, you will be asked to enter your new password. Make sure the new password conforms to the password policy and is not a password you have recently used, and click **SAVE**.

A message on screen will confirm your password has been successfully changed.



## Password failure lockout

After your third unsuccessful login attempt, you will be locked out for ten (10) minutes. If you attempt to login during the lockout period, the lockout timer will be extended for another ten (10) minutes for each login attempt. You can remove the lockout by resetting your password using the “Forgot your password?” process outlined below.

## How to retrieve your username and reset your password

If you forget your username, you can use your registered email address and HIN to retrieve it.

If you've forgotten your HIN or cannot access it, you will need to contact your sponsoring participant (broker) to retrieve it.

### Retrieving your username

#### Step 1 – Enter email address

To retrieve your username, navigate to the Forgot Username screen by clicking on the **Forgot your username?** link, then enter your email address, and click **SEND NOW**.

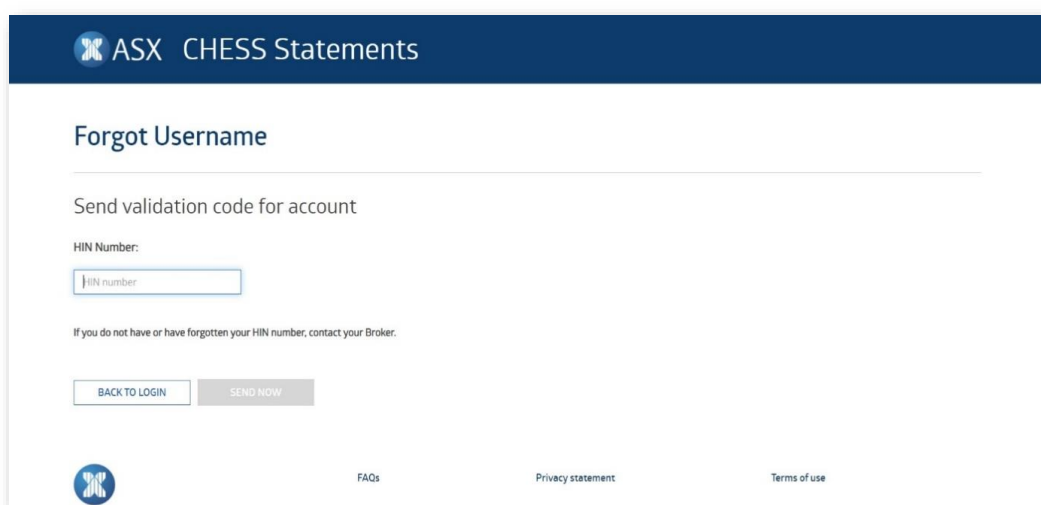
#### ASX CHESS Statements Portal – forgot username page



#### Step 2 – Enter HIN

If you have multiple HINs linked to your email address, enter the HIN associated with the username you are retrieving, and click **SEND NOW**.

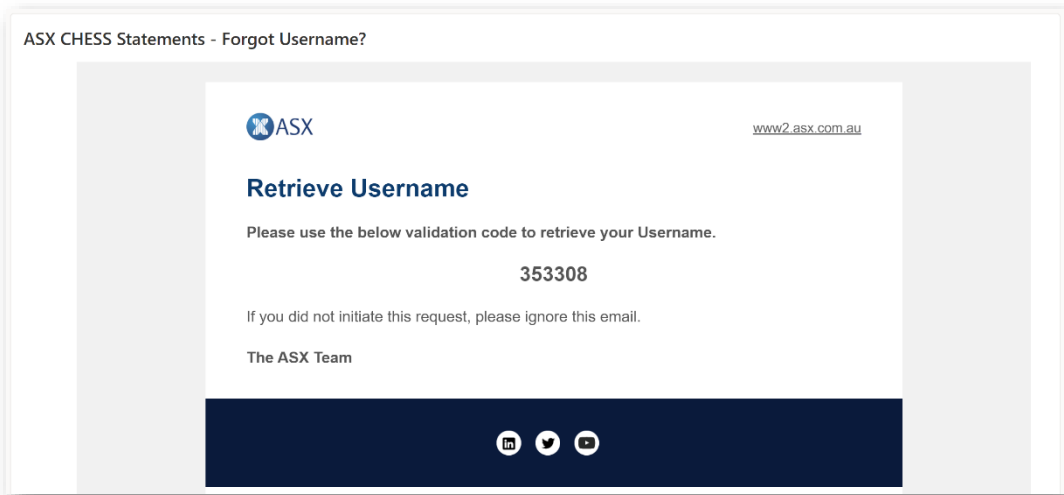
#### ASX CHESS Statements Portal – enter HIN page



### Step 3 – Receive validation code

When you enter the correct email address (and HIN) for your registered account, you will be sent a validation code.

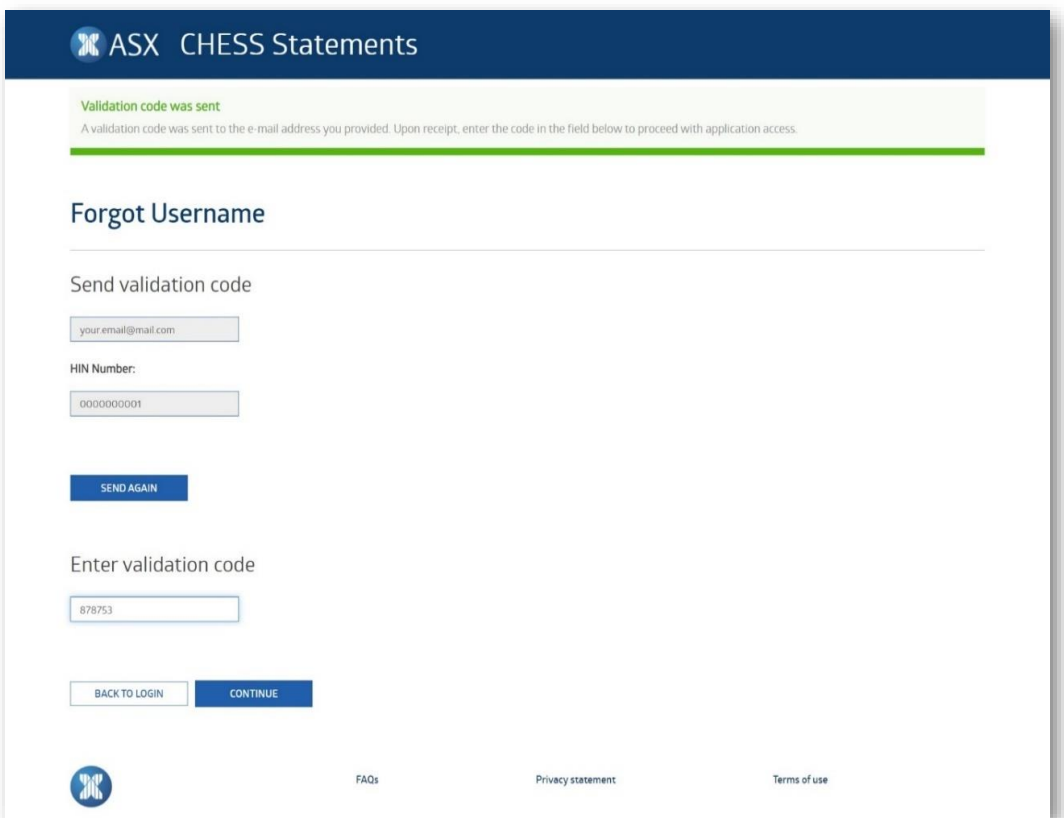
#### ASX CHESS Statements Portal – retrieve username email



### Step 4 – Enter validation code

At the Forgot Username screen, enter the validation code that you were sent by email and click **CONTINUE**.

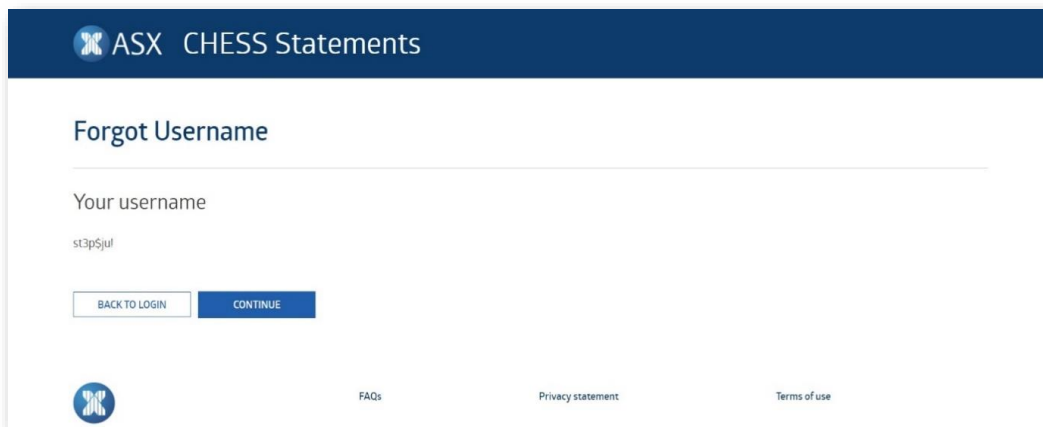
#### ASX CHESS Statements Portal – enter validation code page



### Step 5 – Retrieve username

Your username will be displayed on the screen.

#### ASX CHESS Statements Portal – your username page

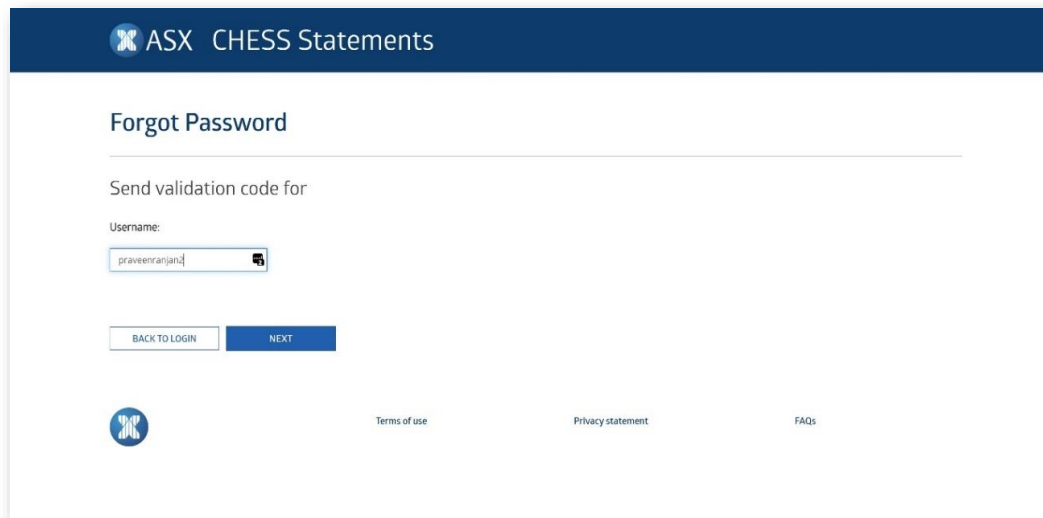


### Resetting your password

#### Step 1 – Enter username

To reset your password, navigate to the Forgot Password screen by clicking on the **Forgot your password?** link, then enter your username, and click **NEXT**.

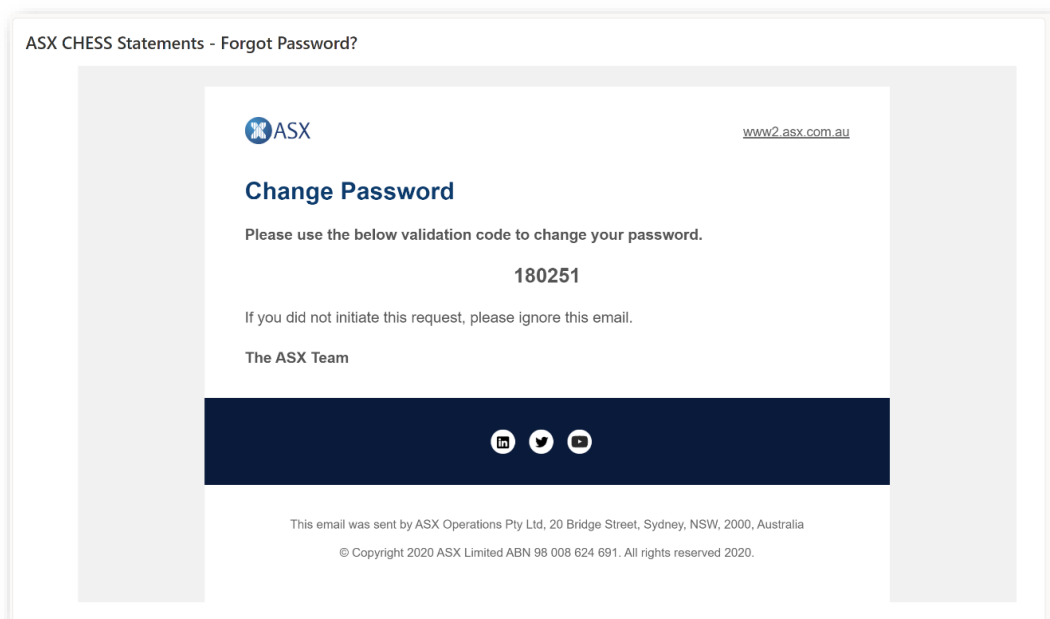
#### ASX CHESS Statements Portal – forgot password page



#### Step 2 – Receive validation code

When you enter the correct username for your registered email address, you will be sent a validation code.

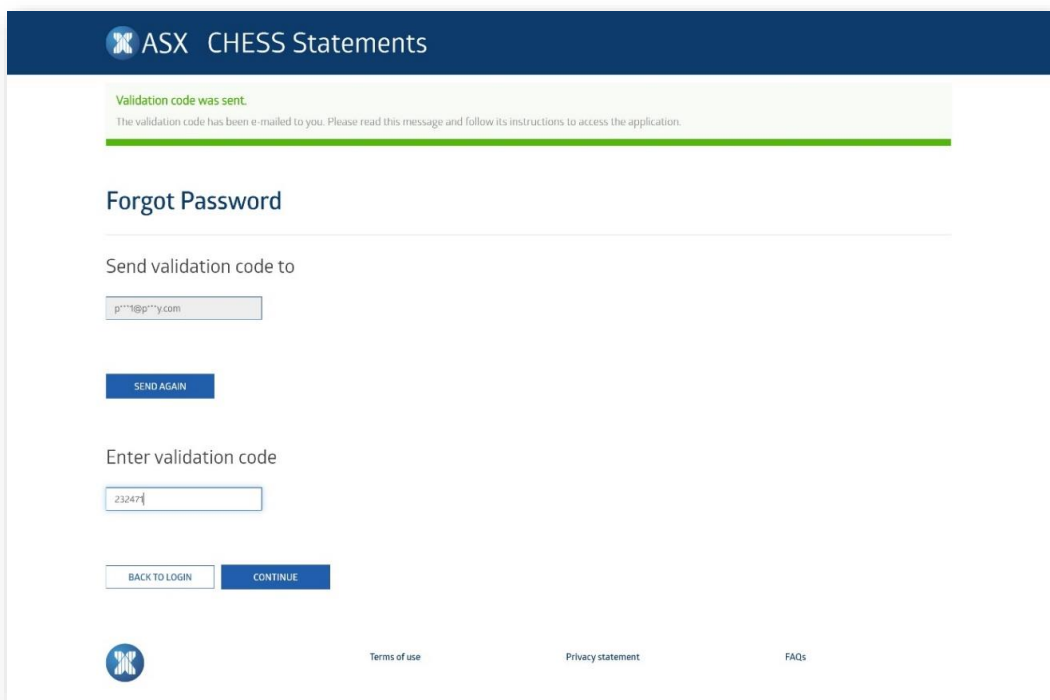
## ASX CHESS Statements Portal – change password email



### Step 3 – Enter validation code

At the Forgot Password screen, enter the validation code that you were sent by email and click **CONTINUE**.

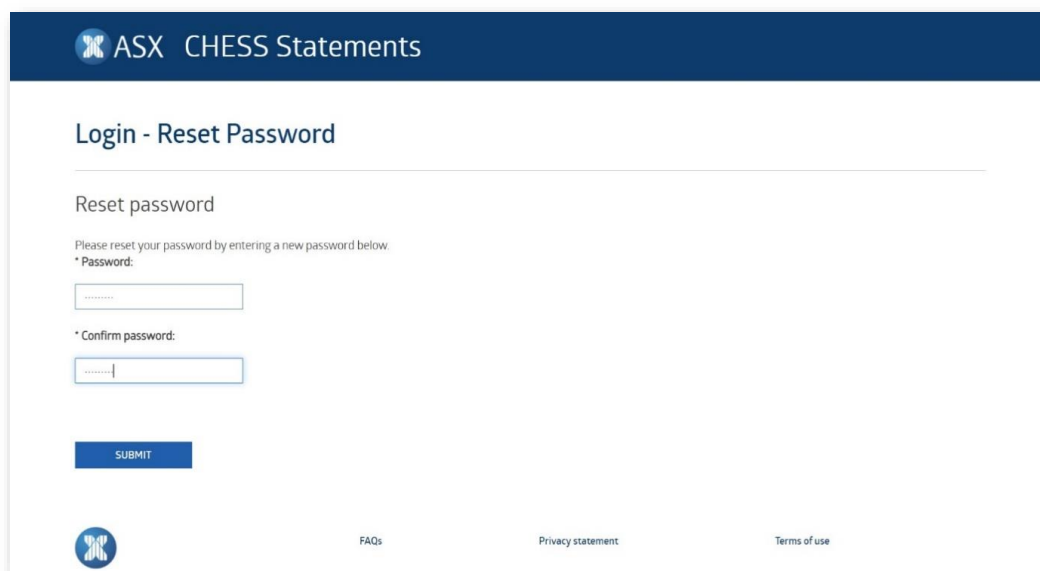
## ASX CHESS Statements Portal – enter validation code page



### Step 4 – Reset password

At the Login – Reset Password screen, enter your new password and click **SUBMIT**.

#### ASX CHESS Statements Portal – reset password page



ASX CHESS Statements

## Login - Reset Password

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### Reset password

Please reset your password by entering a new password below.

\* Password:

\* Confirm password:

[SUBMIT](#)

 [FAQs](#) [Privacy statement](#) [Terms of use](#)