

# Austraclear Assured Mode User Guide - Participating Banks

June 2025

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## 1. Assured Mode

Assured Mode is a system state that Austraclear can operate in, providing Austraclear users the ability to continue to operate in the event that RITS, or its connection to Austraclear, becomes unavailable.

The decision to invoke Assured Mode will be made by both the Reserve Bank of Australia (RBA) and ASX based on a joint assessment of the exception event, where Austraclear remains operational. Austraclear will only be entered into Assured Mode in the event that RITS or its connectivity cannot be restored in the same day and where there are still transactions that need to be processed before the end of day.

Once activated Austraclear will remain in Assured Mode for the remainder of the current business day, only returning to Normal Day mode at the start of the following business day (providing the connection to RITS has been restored).

This document covers the processes and procedures for Participating Banks both prior to and upon the initiation of Assured Mode in Austraclear, a high level operational overview of which can be found in Appendix 1 of this document.

For the purpose of this document a Participating Bank is;

- Any Austraclear Participant that settles Austraclear transactions across its own Exchange Settlement Account (ESA) with the RBA
- Any Austraclear Participating Bank that uses its own ESA to settle Austraclear transactions on behalf of other Participants

**If you are a Participant that does not settle Austraclear transactions across your own ESA please refer to the 'Participant Assured Mode User Guide'**

## 2. Cash Limits in Assured Mode

The Cash Limit places a limit on the amount to which a cash record may go into debit when the system is operating in an RTGS environment under normal daily operations. It represents the amount of cash available to the cash record owner (i.e. Participant) within the system as set by the Participating Bank and cannot be exceeded without the permission of the Participating Bank (via a temporary adjustment)

Once Assured Mode has been activated in Austraclear the existing Cash Limit set in the cash record screen is overridden with the Assured Cash Limit (maintained on the sub participant "B" branch) which then remains in place for the remainder of the processing day (unless amended as per section 4.2). Any temporary Cash Limits in place for the business day under normal daily operations will also be reset to zero on the activation of Assured Mode.

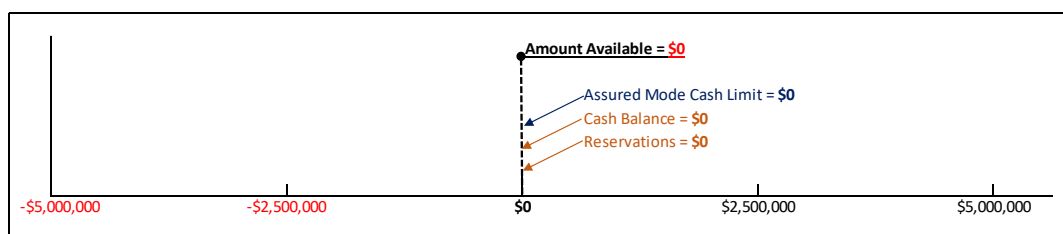
Austraclear automatically manages available credit that applies to all transactions due to settle in Austraclear in Assured Mode i.e. all transactions are checked against the Assured Cash Limit for each participant to ensure they have the Amount Available for the transactions to settle, where the **Amount Available = Assured Cash Limit - reservations + cash balance**.

It is possible for Participating Banks to set either positive or negative Assured Cash Limits. A negative limit prevents a Participant settling transactions in Assured Mode unless they have a Cash Balance in excess of the negative limit at the time that the transaction is attempting to settle.

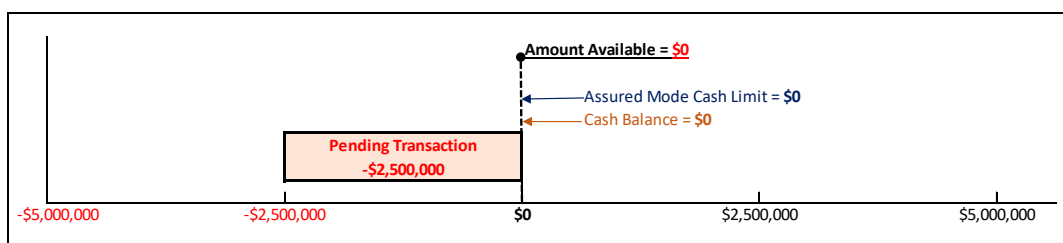
Some examples of how the Assured Cash Limits, Cash Balance, Reservations and the resulting Available Funds will work are shown below;

### Example 1 - Assured Cash Limit = 0, Cash Balance = 0, Reservations = 0.

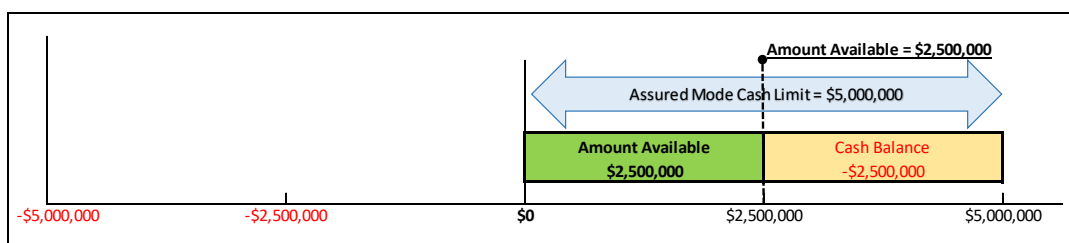
The Amount Available = 0 meaning the Participant will not be able to settle any transactions where they are the payer (debit) in Assured Mode unless either their Participating Bank increases their Assured Cash Limit OR a transaction settles that increases (credits) the Cash Balance  $\geq$  the settlement (debit) amount.



In the example below a transaction has been submitted where the Participant is due to pay \$2,500,000. In this example the Participants Amount Available = 0, meaning the transaction will await settlement until their Participating Bank increases their Assured Cash Limit (or they settle a credit transaction in excess of \$2,500,000).

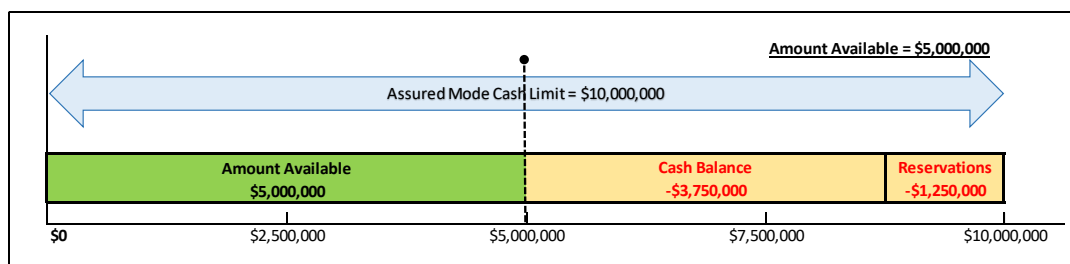


If the Participant was to then request that their Participating Bank increase their Assured Cash Limit to \$5,000,000 the transaction would settle (becoming a -\$2,500,000 cash Balance) and the Participant would have a remaining Amount Available of \$2,500,000 per the below;



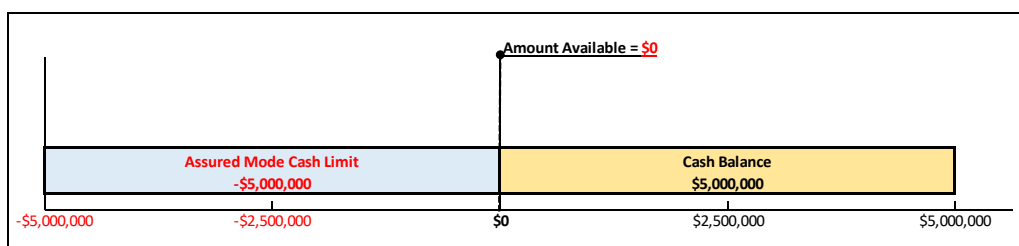
### Example 2 - Participant Assured Cash Limit = 10,000,000, Cash Balance = -3,750,000, Reservations = -1,250,000.

The Amount Available = 5,000,000 meaning the Participant will be able to settle transactions up to the value of 5,000,000 where they are the net payer (DR) in Assured Mode. If they wish to settle transactions where they are the net payer in excess of 5,000,000 they will either need their Participating Bank to increase their Assured Cash Limit OR settle a transaction that increases (CR's) the Cash Balance  $\geq$  the settlement (DR) amount



**Example 3** - Participant Assured Cash Limit = **-5,000,000**, Cash Balance = 5,000,000, Reservations = 0

The Amount Available = **0** meaning the Participant will not be able to settle any transactions where they are the payer (DR) in Assured Mode unless either their Participating Bank increases their Assured Cash Limit OR they settle a transaction that increases (CR's) the Cash Balance  $\geq$  the settlement (DR) amount + the negative Assured Mode Limit.



This above scenario would occur if a Participant had a 5,000,000 Cash balance from previously settled transactions when Austraclear entered Assured Mode and their Participating Bank wanted to prevent them from settling any transactions in Assured mode - setting a -5,000,000 Limit to effectively zero out their Amount Available.

Assured Cash Limits will only apply while Austraclear is operating in Assured Mode. Upon restoration of the normal day processing in Austraclear (when RITS returns to normal operation), all original Cash Limits in the customer Cash Records will be restored to those used prior to Assured Mode activation. Upon restoration of normal day processing, ASX advises that Participating Banks monitor/check their limits to confirm the regular limits have been restored as expected.

More information on how to set Assured Mode Limits are detailed in [section 3.2](#).

### 3. Assured Mode User Roles and Required Proxy

In order to successfully manage the required functions within Assured Mode, the Participating Bank proxy user (e.g. PU\_ASMO2B\_1) must have the following roles assigned:

- CP Assured Limit
- CP Authorise Cash Record
- CP Cash Records Provider
- CP Compulsory Role
- CP Manual Settlement
- CP Reports
- CP Select & View Cash Record Provider
- CP Reverse RBA Repo Assured Mode
- CP Auth Reverse RBA Repo Assured Mode
- CP Participant Admin (required to input global Assured limit)
- CP Authorise Participant Admin (required to input global Assured limit)

Participants can check these roles by going to the Sub Participant > Sub Participants Users and Sub Accounts > Explore and search the B Branch under your Sub Participant eg DUMY6B which will bring up the below screen, from which you can highlight and right click on your proxy user and select 'Properties' from the menu.

Sub Participant Explorer - ACHO2006

Search Tree

View: User

User: PU\_DUMY6B\_1

First name:

Last name:

Sub participant: DUMY6B

User	First Name	Last Name	Current State	Sub Participa
PU_DUMY6B_1			Active	DUMY6B

1 matching record(s)

This will bring up the below proxy user screen where you can view and confirm the Assigned Roles by scrolling down to the 'Assigned Roles' field shown below;

User: PU\_DUMY6B\_1

Acting for (F9): ACHO20

Genera

User: PU\_DUMY6B\_1

Sub participant: DUMY6B

User administrator: No

Contact Information

First name:

Last name:

E-mail:

State

State: Active

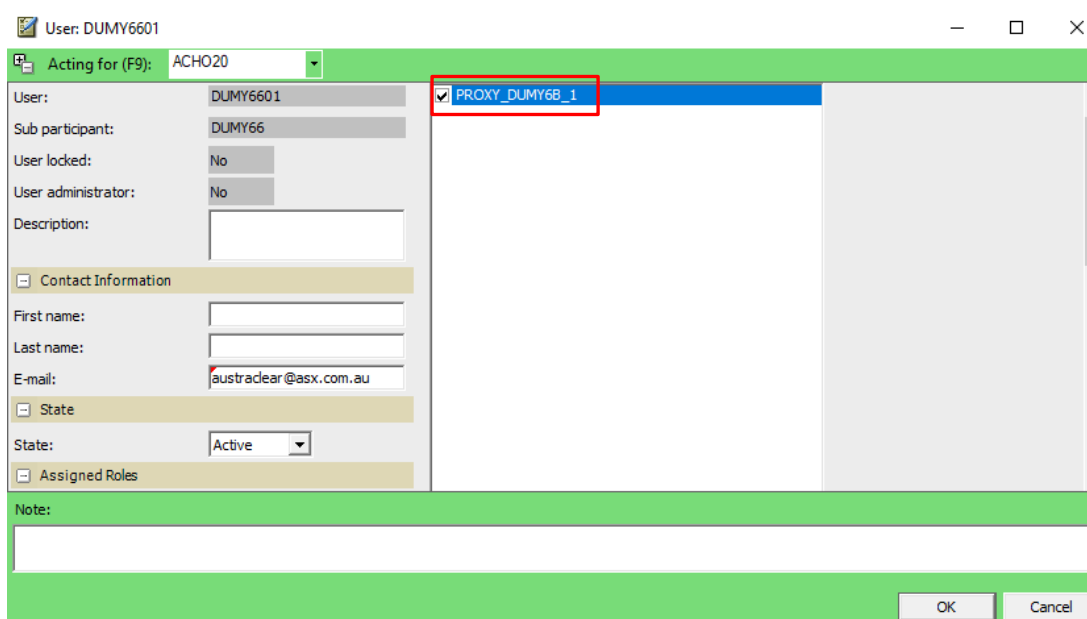
Assigned Roles

- ☒ CP ASSURED LIMIT
- ☒ CP AUTH PASSWORD ADMINISTRATION
- ☒ CP AUTH REVERSE RBA REPO AM
- ☒ CP AUTHORISE CASH RECORD
- ☐ CP AUTHORISE PART ADMIN
- ☐ CP AUTHORISE RBA REPO
- ☐ CP CASH RECORD OWNER
- ☒ CP CASH RECORDS PROVIDER
- ☐ CP CGWY COMPULSORY
- ☐ CP CGWY EXPLORE HTML MESSAGE
- ☐ CP CGWY HTML FILE
- ☒ CP COMPULSORY ROLE
- ☐ CP CORPORATE ACTIONS
- ☒ CP MANUAL SETTLEMENT
- ☒ CP PARTICIPANT ADMINISTRATION
- ☐ CP PASSWORD ADMINISTRATION
- ☐ CP RBA REPO
- ☒ CP REPORTS
- ☒ CP REVERSE RBA REPO ASSURED MODE
- ☐ CP SELECT & VIEW AUTH POLICY
- ☒ CP SELECT & VIEW CASH RECORD PRO
- ☐ CP SELECT & VIEW PROXIES
- ☐ CP SELECT & VIEW RBA REPO

Note:

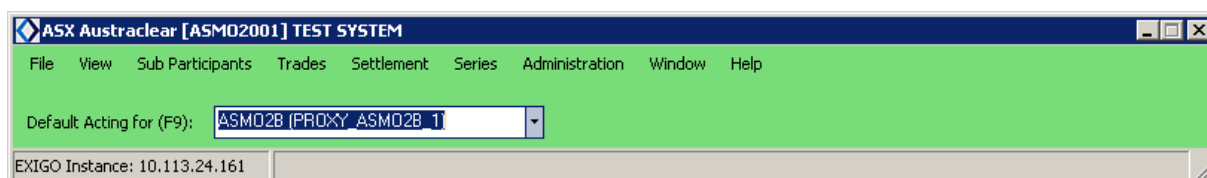
OK Cancel

To act on behalf of the Participant Bank, providing a cash limit for customers, your B Branch proxy eg PU\_DUMMY6B\_1 must be allocated to the Participants users, see below.



If a user does not have the roles needed to manage the required Assured Mode functions, they will need to contact their Austraclear system administrator and request the roles be assigned to their user.

Once a user is logged into Austraclear via their usual Participant code, the bank branch proxy must be selected in order to make changes to their own or a client's relevant Cash Record limits. Select the proxy from the [Default Acting for (F9)] drop-down menu.



Participants are advised to review access regularly to ensure users have the Participating Bank Proxy and roles to manage the Cash Limits for themselves and their clients.

#### 4. Setting Assured Cash Limits

When setting Assured Cash Limits, Participating Banks need to consider appropriate Cash Limits for each of their clients in Austraclear, taking into account those transactions that have already settled as well as those transactions expected for settlement throughout the day. The following tools are available to assist Participating Banks in determining Cash limits;

- The Cash Records screen – To view their clients settled transactions and available cash balance (see 5.2).
- The Interim Cash List report – To Identify the net debits or net credits of settlements that have already taken place that day (prior to invoking Assured Mode), for all Sub Participant codes who have a cash record with that Participating Bank (see 5.3).

Participating Banks are advised to utilise these tools to help assess what values they may elect to set as their clients Assured Cash Limits and what method they want to use to implement these limits. Assured Cash Limits can be managed as follows:

##### A. Set a global Assured Cash Limit that will propagate to all client Cash Records (see 4.1)

Setting a global Assured Cash Limit means that once Assured Mode has been invoked, the Assured Cash Limit of each Participating Bank automatically propagates down to the cash limit of each of the cash records belonging to all clients of that Participating Bank. **This can only be set up PRIOR to the initiation of Assured Mode.**

**B. Do not set an Assured Cash Limit**

Not setting any Assured Cash Limits will result in the cash records belonging to all clients of that Participating Bank being set to zero, once Assured Mode has been invoked. This will mean that the clients of the Participating Bank will not be able to settle any payment transactions unless they have a positive cash balance from transactions settled prior to or during Assured Mode operations (see section 2)

**C. Set an Assured Cash Limit on each individual Cash Record (see 4.2)**

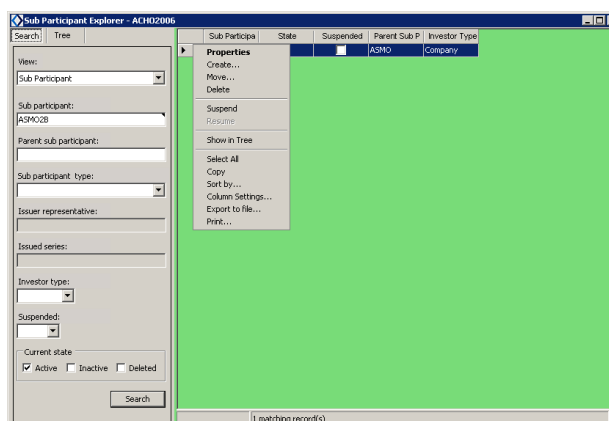
Assured Cash Limits can be manually set and/or amended at the individual Cash Record level (for each Participant) following the invocation of Assured Mode. This can be done irrespective of whether or not a Participating Bank has elected to set a Global Cash Limit or No Cash Limit prior to Assured Mode being invoked. **This can only be set up AFTER the initiation of Assured Mode**

**4.1. Setting a global Assured Cash Limit to apply to all the Participating Bank's clients Cash Records**

Setting a global Assured Cash Limit means that once Assured Mode has been invoked, the Assured Cash Limit automatically propagates down to the Cash Limit of each of the Cash Records belonging to all clients of that Participating Bank. This limit overrides the existing Cash Limit of each client's Cash Record while the system remains in Assured Mode. **This can only be set up PRIOR to the initiation of Assured Mode**

To update the global Assured Cash Limit; :

1. Select **Sub Participants > Sub Participants Users Sub Accounts > Explore.**
  - a. This displays the Sub Participant Explorer screen.
2. Select the required sub participant B Branch (e.g. ASMO2B) from the list.
3. Right-click and select **Properties.**
  - a. The **Sub Participant** screen is displayed where a cash limit can be specified.



4. Modify the Assured Cash Limit field to the required value, and click OK.



Sub Participant: TEST2B

Acting for (F9): ACHO20

<b>General</b> Sub participant: TEST2B Parent sub participant: TEST Sub participant type: <input type="checkbox"/> Borrower <input checked="" type="checkbox"/> Cash Provider <input type="checkbox"/> Clearing Sub Participant <input type="checkbox"/> Clearinghouse Or CCP <input type="checkbox"/> Collateral Sub Participant External template ref.: ACHO20 External Identification Investor type: Company ACN/ARBN: ABN: Cash provider BSB: 008-000 Clearing bank BIC: LEI Code: Limited account no.: <b>Clearing Bank Accounts</b> <table border="1"> <thead> <tr> <th>Account</th> <th>Currency</th> </tr> </thead> <tbody> <tr> <td>*</td> <td></td> </tr> </tbody> </table>	Account	Currency	*		<b>Default</b> Default sub account: Default cash records: <input type="checkbox"/> 008-000-ASSMODE Maturity cash records: <input type="checkbox"/> 008-000-ASSMODE <b>Contact Information</b> Sub participant name: AUSTRACLEAR TEST PARTICIPANT Resident: <input checked="" type="checkbox"/> Country: AUSTRALIA Postal code: 2000 City: SYDNEY Province or state: NSW Address 1: Level 11 20 Bridge Street Address 2: Contact person: Mike Carroll Phone number: 0410 885 235	Fax number: E-mail: michael.carroll@asx.com.au TPN: Assured cash limit: 100,000,000 State: State: Active Suspended: No Classification Sub participant: Branch Tier classification: STP capability: None Membership charge: No U.S. Sub participant: <b>Chargeable Fee Rule Types</b> Settlement instruction/Trade related: <input checked="" type="checkbox"/> Holding related: <input checked="" type="checkbox"/> Report related: <input checked="" type="checkbox"/> SWIFT related: <input checked="" type="checkbox"/> HTH Lite related: <input checked="" type="checkbox"/>	Sub account related: <input checked="" type="checkbox"/> User related: <input checked="" type="checkbox"/> Proxy related: <input checked="" type="checkbox"/>
Account	Currency						
*							

## 4.2. Setting an Assured Cash Limit on each individual Clients cash record

Setting the Cash Limit at the individual Cash Record means that once Assured Mode has been invoked, the Assured Cash Limit of each Participant will need to be manually updated individually by the Participating Bank. This limit overrides the existing Cash Limit of each customer's Cash Record while the system remains in Assured Mode as well as any Assured Cash Limits that may have been set using the global update method (see 4.1). This can only be set up AFTER the initiation of Assured Mode.

To apply the Assured Cash Limit for each individual client;

1. When in Assured Mode - Select Sub Participants > Cash Records > View. This displays the Cash Records screen.
2. Enter Sub Participant B Branch (e.g. ASMO2B) to view the Cash Record for all clients of that Participating Bank
3. The details of the Cash Records are displayed.
4. Select the required Cash Record to be modified.
5. Right-click and select [Properties as Provider]. This displays the Cash Record screen.

Cash Records - ACHO2006

Cash record: Cash record owner: Cash provider: Currency:

ASMO20

Search

Cash Record	Currency	Cash Record	Cash Provide	Cash Limit	Temp. Adjust	Reservations	Balance	Amount Available	State	Has Assigned
007-007-ASSURED MODE TEST	AUD	ASMO20	ASMO2B	250,000,000.00		0.00	0.00	250,000,000.00	Active	

1 Item Found

Cash Records - ACHO2006

Cash record: Cash record owner: Cash provider: Currency:

ASMO20

Search

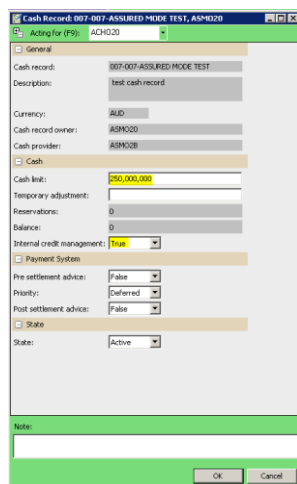
Cash Record	Currency	Cash Record	Cash Provide	Cash Limit	Temp. Adjust	Reservations	Balance	Amount Available	State	Has Assigned
007-007-ASSURED MODE TEST	AUD	ASMO20	ASMO2B	250,000,000.00		0.00	0.00	250,000,000.00	Active	

1 Item Found

Right-click context menu:

- Delete
- Properties As Owner
- Properties As Provider
- View Cash Record Transactions For Owner
- View Cash Record Transactions For Provider
- Assign / Unassign...
- Modify Code and Description...
- Select All
- Copy
- Sort By...
- Column Settings...
- Export to File...
- Print...

6. The Cash Limit is set on each individual Cash Record and is the default value the system utilises to test for available funds. **Amount Available = Assured Cash Limit - reservations + cash balance**



## 5. Assured Mode Business Process

### 5.1. Assured Mode Initiation and Market Notification

The decision to invoke Assured Mode is made by both the RBA and ASX based on a joint assessment of the system/connectivity issue being managed. While customers will already have received some communications from the ASX and/or RBA concerning the incident under management, in the event that a decision has been made to progress to Assured Mode, Austraclear Participants will also receive the following notifications from ASX;

#### NOTIFICATION 1 – Pre Assured Mode Activation

Containing;

- Confirmation of the decision to invoke Assured Mode
- Estimated timing for Assured Mode commencement
- Request to begin assessing Assured Cash Limits for participants
- Request to contact Participants to advise limits setting process and/or Limits (if necessary).

#### NOTIFICATION 2 – Post Assured Mode Activation

Containing;

- Confirmation of Assured Mode commencement
- Confirmation that all transactions involving cash will settle based on the Assured Cash Limits.
- Request to continue to monitor/update their Assured Cash Limits during Assured Mode Settlement Sessions.

Participating Banks can view their clients' settled transactions and available cash balance via the Cash Records screen in Austraclear prior to moving into Assured Mode (see 5.3). Within approximately 30 minutes of receiving Notification 1, Participating Banks will receive the Interim Cash List report in Austraclear. The Interim Cash List report identifies the net debits or net credits of settlements for all Sub Participant codes who have a Cash Record with that Participating Bank (see 5.4). Participating Banks are advised to utilise both these tools to help assess how they want to set their clients' Assured Cash Limits and how they want to implement those limits.

It should be noted that as part of the transition to Assured Mode there will be an interruption to the settlement of *free of payment* transactions of between 30 to 60 minutes.

### 5.2. Inflight Transaction Handling

As part of the transition to Assured Mode, ASX will verify the status of transactions in flight at the time of the RITS or connectivity outage and, if possible, reconcile these with the RBA (depending the RBA's ability to determine the status of transactions in RITS)

Any transactions in a 'Payment Pending' status in Austraclear that cannot be confirmed to have been settled in RITS will be rolled back to a 'Not Ready' and/or 'Waiting in Queue' state in Austraclear and then re-assessed against the Assured Cash Limits (see section 2).

Transactions in a 'Payment Pending' status in Austraclear that the RBA can confirm as settled in RITS prior to the exception event (but not updated in Austraclear) will be rolled forward to a 'Settled' state in Austraclear as part of the transition into Assured Mode.

Participating Banks are encouraged to check if they have any inflight transactions pending in Austraclear upon the announcement that Assured Mode is to be invoked. If a Participating Bank does have inflight transactions they should monitor their status through to Assured Mode activation process to confirm if they are rolled back to 'Not Ready' or 'Settled'

Following the recovery of RTGS services the ASX and RBA will perform another reconciliation covering all transactions processed both in the lead in to and during Assured Mode operations (see section 5.5).

### 5.3. Assured Mode Monitoring

Prior to and during Assured Mode in Austraclear, Participating Banks can view their client's cash position via the Cash Records screen in Austraclear. This screen can be used by Participating Banks to;

- View transactions settled
- Assess their clients Assured Cash Limit (Cash Limit + or – Cash Balance)
- Advise their clients of their account position prior to the receipt of the Interim Cash List report.

#### Assured Mode settlement states:

- Matched – Settlement instruction created
- Not Ready – No available stock
- Waiting in Queue – No available funds
- Settled – Trade settled within Austraclear normal operations
- Assured – Settlement occurred during Assured Mode



## 5.4. Assured Mode Reports

Three reports are made available to Participant Banks while Austraclear is in Assured Mode, the Interim Assured Mode Cash List Report, the Cash List (Assured Mode) Report and the Final Cash List Report. The Interim Assured Mode Cash List report is made available to all Participating Banks at the commencement of the Assured Mode Interim sub session. The Cash List (Assured) Report is made available during the Day Close Subsession (6:32pm) and will show all transactions settled during Assured Mode. The Final Cash List Report will also be made available during the Day Close Subsession and will show all transactions settled prior to and during Assured Mode.

The Participating Bank B Branch (e.g. AZBC2B) can download the interim, Assured Mode and final Cash List reports via the Reports screen while Austraclear is operating in Assured Mode.

Report Date	Batch Name	Participant	Report Name	Format	Empty	Loaded	Printed	Auto Load
27/11/2018	BeforeBusiness	RBAA2B	IssuerRepresentatives1stRunFISPayments_CSV	CSV	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	BeforeBusiness	RBAA2B	IssuerRepresentativesDSSMaturitiesPayments_CSV	CSV	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	BeforeBusiness	RBAA2B	CorporateActionRecordDate_CSV	CSV	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	BeforeBusiness	RBAA2B	CorporateActionCreationDate_CSV	CSV	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	BeforeBusiness	RBAA2B	CorporateActionRecordDateCollateral_CSV	CSV	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	BeforeBusiness	RBAA2B	IssuerRep1stRunFISPaymentsCollateral_CSV	CSV	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	2ndPaymentRun	RBAA2B	IssuerRepresentatives2ndRunFISPayments_CSV	CSV	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	2ndPaymentRun	RBAA2B	CorporateActionIntraday_CSV	CSV	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	2ndPaymentRun	RBAA2B	IssuerRep2ndRunFISPaymentsCollateral_CSV	CSV	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	AssuredModeInterim	RBAA2B	CashListInterim	PDF	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27/11/2018	AssuredModeInterim	RBAA2B	CashList_CSV	CSV	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The Cash List report contains the net debit and net credit of all transactions settled for each of the cash records belonging to the clients of that Participating bank.

### Interim Cash List Report – intraday



Austraclear Limited ABN:94 002 060 773

Page 1 of 1  
02-May-2023 12:22:55

#### INTERIM CASH LIST REPORT

Business Date: 02-May-2023  
Cash Provider: ZZAA2B - TEST BANK OF AUST -  
SYDNEY, NSW, AU, 2000

BSB: 072-000

Cash Record	Sub Participant Code	Sub Participant Name	Net Debits	Net Credits
072-000-00060066	SYDE20	SYDNEY DEFENCE LTD		40,226.95
072-000-14441789	AIRP20	AIR ANTARCTIC LIMITED	568,580.76	
072-000-16344650	LNLI30	LION & TINMAN LIMITED	4,083,950.25	
072-000-17413350	MOUN20	MOUNTAIN HAIR CO LTD	382,000.00	
072-000-17737781	HILL20	HILL AQUACULTURE PTY LTD		1,116,764.00
072-000-17166737	FOUR20	FORTY PILLARS PTY LTD	196,609.08	
BSB Totals:			5,231,140.09	1,156,990.95
BSB Net Total:			4,074,149.14	

The example above shows an Interim Cash List Report that a Participating Bank would receive at the commencement of Assured Mode. In this example the Participating Bank would need to manage an Assured Cash Limit for 6 clients.

Upon receiving the report the Participating Bank can determine the cash balance of each of their clients that can be used to apply the appropriate Assured Cash Limits (see section 2). In this example client SYDNEY DEFENCE LTD has a cash balance of +\$40,226.95 where client AIR ANTARCTIC LIMITED has a cash balance of -\$568,580.76.

# Assured Mode Cash List Report



Austraclear Limited ABN:94 002 060 773  
**ASSURED MODE CASH LIST REPORT**

Page 2 of 2  
 19-May-2025 13:08:42

Business Date: 15-May-2025  
 Cash Provider: TEST2B - TEST PARTICIPANT PTY LTD -  
 -  
 SYDNEY, NSW, AU, 2000

BSB: 060-665				
Cash Record	Sub Participant Code	Sub Participant Name	Net Debits	Net Credits
060-665-661140776	TEST39	TEST PARTICIPANT PTY LTD O/A TREASURY CCOUNT	0.00	0.00
060-665-661498794	TEST37	TEST PARTICIPANT PTY LTD LTD O A CUSTODY ACCOUNT	35,000,000.00	
060-665-661516622	TEST31	TEST PARTICIPANT PTY LTD LTD O A CLEARING ACCOUNT		10,000,000.00
BSB Totals:			35,000,000.00	10,000,000.00
BSB Net Total:			25,000,000.00	
BSB: 083-817				
Cash Record	Sub Participant Code	Sub Participant Name	Net Debits	Net Credits
060-665-553668964	ZANA2J	CUSTOMER ZANA PTY LTD		25,000,000.00
BSB Totals:			0.00	25,000,000.00
BSB Net Total:				25,000,000.00
Totals:			80,079,432,323.91	80,052,345,703.91
Net Total:			27,086,620.00	

14 records returned.

The example above shows an Assured Mode Cash List Report that a Participating Bank would receive at the end of the business day during the Austraclear Day Close Session (6:32pm) when Austraclear has been operating in Assured Mode.

This report is used by Participating Banks to;

1. View each of their clients' cash balances at the end of the day.
2. Determine the net deferred settlement amount to be settled in RITS the following day when the RBA settles transactions completed under Assured Mode (see section 5.5).

## Final Cash List Report – end of day



Austraclear Limited ABN:94 002 060 773

### FINAL CASH LIST REPORT

Business Date: 02-May-2023

Cash Provider: ZZAA2B - TEST BANK OF AUST -  
-  
SYDNEY, NSW, AU, 2000

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BSB: 072-000

Cash Record	Sub Participant Code	Sub Participant Name	Net Debits	Net Credits
072-000-00060066	SYDE20	SYDNEY DEFENCE LTD		40,226.95
072-000-14441789	AIRP20	AIR ANTARCTIC LIMITED	1,568,580.76	
072-000-16344650	LNLI30	LION & TINMAN LIMITED	4,083,950.25	
072-000-17413350	MOUN20	MOUNTAIN HAIR CO LTD	382,000.00	
072-000-17737781	HILL20	HILL AQUACULTURE PTY LTD		1,116,764.00
072-000-17166737	FOUR20	FORTY PILLARS PTY LTD	196,609.08	
BSB Totals:			6,231,140.09	1,156,990.95
BSB Net Total:			5,074,149.14	

The example above shows a Final Cash List Report that a Participating Bank would receive at the end of the business day when Austraclear has been operating in Assured Mode.

This report includes both transactions settled prior to and during Assured Mode.

## 5.5. Recovery of RTGS Settlement (T+1)

Providing the connection between RITS and Austraclear has been restored, ASX will send a notification to all Austraclear Participants the morning following the exit from Assured Mode operations confirming that Austraclear has resumed normal operations with RITS.

Upon restoration of the normal day all original Cash Limits in the clients Cash Records will be restored (to those used prior to Assured Mode activation) – Participating Banks should monitor/check their limits to confirm that the limits have been restored as expected.

## 5.6. Settlement of Transactions Completed in Assured Mode

Austraclear sends a net cash movement file to the RBA at the end of each business day for settlements made under Assured Mode. The interbank obligations in the cash movement file will be settled during the next Morning Settlement Session in RITS or may be applied directly to ESAs outside of RITS if RITS is unavailable for an extended period. The net settlement amount for each Participating Bank will equal the Net Total Cash per the Assured Mode Cash List Report (See 5.4).

## 6. Contacts

While operating in Assured Mode, Participating Banks and Participants should be communicating directly with each other with regards to the setting and management of their Assured Cash Limits.

Should a Participating Bank have any issues setting their limits or accessing their reporting they can contact the Austraclear Helpdesk:

- Phone – **1300 362 257**
- Email – [austraclear@asx.com.au](mailto:austraclear@asx.com.au)

## Appendix 1 - Assured Mode Operational Overview

