

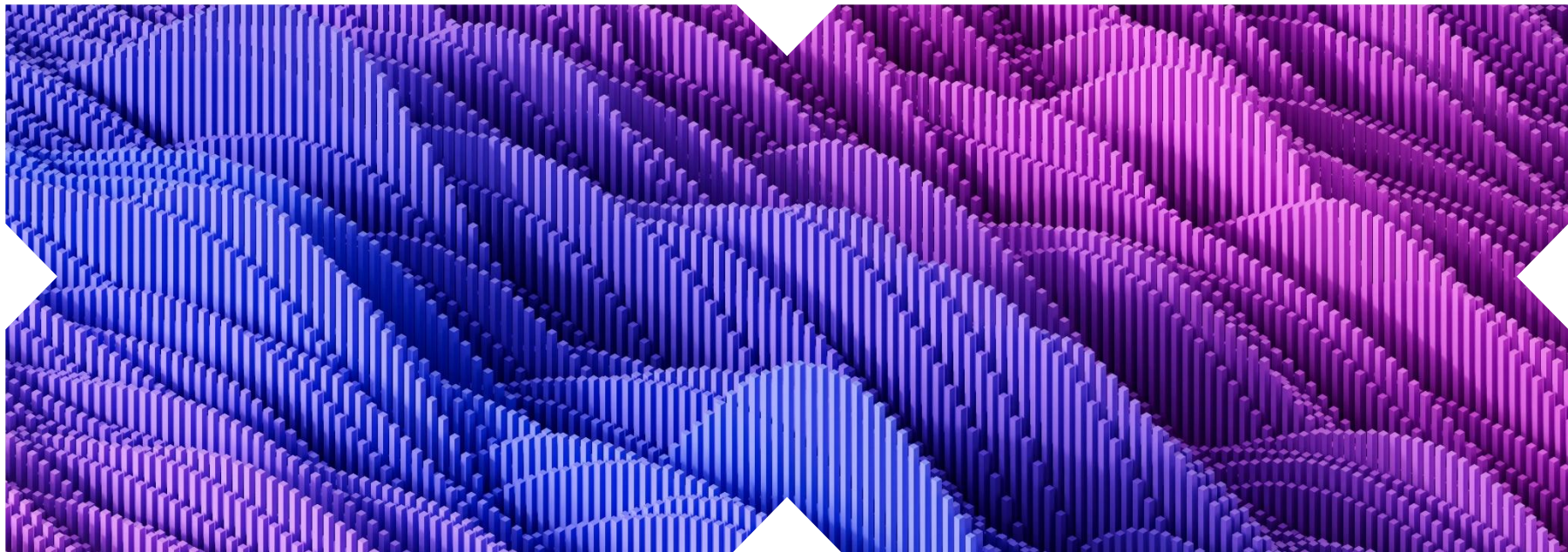
# CHES PROJECT

# BUSINESS DESIGN WORKING GROUP

## CHES UI, CONNECTIVITY AND RESILIENCE

ASX

3 JUNE 2026



# Acknowledging Country

ASX acknowledges the  
Traditional Owners of  
Country throughout  
Australia. We pay  
our respects to Elders  
past and present.

**Artwork by Lee Ann Hall**  
My Country My People



# Housekeeping

## Troubleshooting

- Please mute yourself when not speaking
- Please use the 'raise hand' feature on MS Teams if you would like to ask a question
- Please introduce yourself when talking for the benefit of all members
- Meeting is being recorded for the purposes of capturing decisions and actions
- Dial in details (audio only):
  - +61 2 7208 4607
  - Phone Conference ID: 341 442 474#
- Presentation materials were distributed before the meeting and will be published on the website.

# Important Information

## Competition Law Reminder

Workshop members are reminded to have regard to their obligations under competition law. In particular, please note that the Competition and Consumer Act prohibits a corporation from engaging with one or more persons in a concerted practice that has the purpose, effect or likely effect of substantially lessening competition.

# Agenda

|           |                             |        |
|-----------|-----------------------------|--------|
| <b>01</b> | Introduction and Objectives | 10 min |
| <b>02</b> | Working Group Actions       | 10 min |
| <b>03</b> | CHESS UI                    | 35 min |
| <b>04</b> | AMQP                        | 25 min |
| <b>05</b> | BCP & Resilience Tooling    | 35 min |
| <b>06</b> | Next Steps                  | 5 min  |

# 01 Introduction and Objectives

# 01 - Workshop Objectives and Outputs

The purpose of this Business Design Working Group session is to refine previously consulted design considerations and gain further customer feedback on the scope of the CHESSE UI, BCP and Resilience Tooling for the CHESSE Project

---

## Objectives

- Collect expertise to refine the design of the CHESSE UI and customer BCP tooling
- Play back information collected from previous engagements
- Develop the finalised set of requirements for implementation in the CHESSE Project

---

## Outputs

- Summary of the session and any applicable actions prepared for the Technical Committee
- Updates to the Business Design Documents (as necessary)
- Technical documentation (planned to be provided as part of drop 5)
- Revised APGs
- Rules Consultation



What outcomes would you like to achieve for your organisation from this workshop?

# 01 - Proposed Upcoming BDWG Sessions – 2026

## Indicative schedule

| #  | Session                         | Topic(s)  | Invitees | Proposed Date                                   | Status  |
|----|---------------------------------|---|----------|---|---------|
| 28 | CHESSE UI & Connectivity        | Deep dive overview of the CHESSE UI, connectivity, resiliency and BCP topics                  | All      | 3 June 2026                                     | Planned |
| 29 | Corporate Actions – Follow Up   | Discuss finalised scope of Corporate Actions (inc. beneficial ownership schedules)            | All      | 1 July 2026                                     | Planned |
| 30 | Migration Scope Deep Dive (#2)  | Continued industry discussion on data migration scope and approach                            | All      | 5 August 2026<br><i>(previously 5 May 2026)</i> | Planned |
| 31 | Release 2 Additional Deep Dives | Topics requiring further discussion (e.g. ETFs, PMF, levies, hold/release, operational hours) | All      | 2 September 2026                                | Planned |
| 32 | Release 2 Additional Deep Dives | Agenda to be determined   | All      | 7 October 2026                                  | Planned |
| 33 | Release 2 Additional Deep Dives | Agenda to be determined   | All      | 4 November 2026                                 | Planned |
| 34 | Release 2 Additional Deep Dives | Agenda to be determined   | All      | 2 December 2026                                 | Planned |

**Note:** indicative order, subject to change based on industry inputs and further planning. Multiple sessions may be required per topic  
Blue denotes an update since last presented

# 02 Working Group Actions

# 02 – Working Group Actions

| #              | Action   | Raised                           | Update   | Status                           |
|----------------|--|----------------------------------|--|----------------------------------|
| <b>BDWG_06</b> | Consider the process of migrating accounts, including transformations and fields not available in current CHES                                   | Feb 2025 BD WG                   | To be discussed in migration BD WGs proposed for <b>Nov 2025</b> and <b>Aug 2026</b> (rescheduled from May 2026)                   | Open                             |
| <b>BDWG_09</b> | Consider the appropriate rules and privacy implications to allow the sharing of email and mobile number with Registries                          | Feb 2025 BD WG                   | To be considered as part of rules consultation   | Open                             |
| <b>BDWG_18</b> | Consider the optionality, design and obligations in relation to mandatory settlement locks in the accumulation (ISOWG_J04, ISOWG_J05, ISOWG_J06) | Aug 2025 BD WG                   | ASX is evaluating whether this could be made optional for those who can manage this in their own systems                           | Open                             |
| <b>BDWG_21</b> | Provide finalised update in relation to consolidated feedback on hold / release  | Aug 2025 BD WG & Sep 2025 ISO WG | Outstanding questions remain in relation to close-out, fail fees, rules and obligations. To be discussed in <b>July 2026</b> BD WG | Open                             |
| <b>BDWG_25</b> | Consideration on how the CHES UI works alongside AMQP connectivity   | Dec 2025 I&T WG                  | Additional information added into UTDs for Drop 1-3 - CHES UI discussed further  | <a href="#">Propose to close</a> |
| <b>BDWG_28</b> | Confirm whether segregated margin accounts will be permitted from a legal and regulatory perspective   | Mar 2026 BD WG                   | <a href="#">Tracked as a Business Committee Action (ref 25-9-3)</a>  | <a href="#">Propose to close</a> |

# 03 CHESS UI

# 03 – Overview of the CHESS UI

The CHESS UI is an optional browser-based user interface planned to be made available to all CHESS Users

The **CHESS UI** can be used as:

- **Primary access channel** - for low volume users not developing their own software\*
- **Secondary or complementary access** - an additional method to access the system, supplementing CHESS Users' primary software solution

*\*It is unlikely that the User Interface would be suitable as a primary access channel for most CHESS Users, aside from Payment Providers.*

The **CHESS UI** is suitable for the following scenarios:

- **Low-volume use cases** - for handling non-core or edge-case functionality
- **Ad-hoc data queries and extracts** - facilitating limited, detailed data retrieval and ad-hoc reporting needs
- **Backup method** - a backup option if the primary connectivity method experiences issues, providing an alternative access method for critical priority transactions
- **Testing tool** - a tool to be used during test phases for entering counterparty transactions and viewing data.

# 03 - Summary

## Core Capabilities

- Browser based over ASX Net, enabling secure communication without the need for software installation
- Direct user interaction with the core system
- Complimentary to existing back-office systems by generating appropriate ISO messages\*
- Centralised user administration and onboarding via ASXOnline
- Granular permissions models including read-only and restricted view access
- Query, filter and export capability for core transaction types
- Maker / Checker as an additional control for critical transactions.

A detailed CHES UI User Guide is published alongside [each release into ITE](#) and will be incremented with further information as the project progresses.

\* CHES UI interactions and the ISO messages generated can be found in the CHES User Technical Specifications: [CHES UI and ISO Message CHES UI and ISO 20022 Messaging](#)

# 03 - CHES UI Capabilities - Participant (1 of 2)

| Functional Area                      | Actions Available via UI             | View & Query available in UI  | Maker / Checker | Proposed Delivery Drop |
|--------------------------------------|--------------------------------------|---|-----------------|------------------------|
| Trades & Netting                     | N/A                                  | <ul style="list-style-type: none"> <li>Net Positions</li> <li>Market Settlement Obligations (instructed to settlement)</li> </ul>           | N/A             | Drop 2                 |
| Settlement Instructions              | Create, Amend & Cancel               | <ul style="list-style-type: none"> <li>Matched &amp; unmatched instructions</li> </ul>  | N               | Drop 1 & 2             |
| Accounts                             | Create, Lock/Unlock, Modify & Cancel | <ul style="list-style-type: none"> <li>Accounts, Holders</li> </ul>   | Y               | Drop 1                 |
| Holdings                             | Create & Release Restriction         | <ul style="list-style-type: none"> <li>Holdings</li> <li>Restrictions &amp; Subpositions</li> <li>Holding Adjustments</li> </ul>            | Y               | Drop 1, 3 & 4          |
| Passthrough Investor Data            | Submit                               | N/A   | N               | Drop 2                 |
| Issuer Sponsored Transfer/Conversion | Submit                               | <ul style="list-style-type: none"> <li>Inflight Transfers/Conversions</li> </ul>  | Y               | Drop 3                 |
| SRN Enquiry                          | Submit                               | <ul style="list-style-type: none"> <li>Inflight Transfers/Conversions</li> </ul>  | N               | Drop 3                 |
| Funds Projections & Obligations      | N/A                                  | <ul style="list-style-type: none"> <li>Batch Funds Obligations</li> <li><i>RTGS Funds Obligations</i></li> <li>Batch Projections</li> </ul> | N               | Drop 3 / Drop 5        |
| CoCP & Portfolio Transfer            | Create & Cancel                      | <ul style="list-style-type: none"> <li>Inflight Transactions</li> </ul>   | Y               | Drop 4                 |

## 03 - CHES UI Capabilities - Participant (2 of 2)

| Functional Area                                | Actions Available via UI  | View & Query available in UI   | Maker / Checker | Proposed Delivery Drop |
|--|---|--|-----------------|------------------------|
| Corporate Action Event Information             | N/A   | <ul style="list-style-type: none"> <li>Corporate Action Event Details (limited fields)</li> </ul>  | N/A             | Drop 5*                |
| Corporate Action Elections (All events)        | Create & Cancel   | <ul style="list-style-type: none"> <li>Inflight Elections</li> <li>Corporate Action Payments</li> </ul>  | Y               | Drop 5*                |
| Cash Market Margining & Excess Cash Management | <ul style="list-style-type: none"> <li>Create Daily Excess Cash Adjustment requests</li> <li>Configure Excess Cash Standing Instructions</li> </ul> | <ul style="list-style-type: none"> <li>Margin Results (Daily and Intraday)</li> <li>Excess cash adjustment requests</li> <li>Excess cash standing instructions</li> <li>Daily Earned Interest</li> <li>Daily Cash and Non-Cash Collateral</li> </ul> | Yes             | Drop 5*                |
| Non-Cash Collateral                            | Create, Withdraw (CMM and ETO)  | <ul style="list-style-type: none"> <li>Non-Cash Collateral Requests</li> <li>Non-Cash Collateral Holdings</li> </ul>   | Yes             | Drop 5*                |

\* Drop 5 UI functionality is currently under analysis

The CHES UI aims to offer most CHES functionality, excluding triggering and viewing message-based reports.

## 03 - CHESS UI Capabilities - Registry

| Functional Area   | Actions Available via UI | View & Query available in UI  | Maker / Checker | Proposed Delivery Drop |
|---|--------------------------|---|-----------------|------------------------|
| Accounts  | N/A                      | <ul style="list-style-type: none"> <li>Accounts, Holders</li> </ul>                                     | N/A             | Drop 1                 |
| Holdings  | N/A                      | <ul style="list-style-type: none"> <li>Holdings</li> </ul>  | N/A             | Drop 1                 |
| Issuer Sponsored Transfer/Conversion                                  | <i>Not planned</i>       | <ul style="list-style-type: none"> <li>Inflight Transactions</li> </ul>                                 | N/A             | Drop 3                 |
| SRN Enquiry   | <i>Not planned</i>       | <ul style="list-style-type: none"> <li>Inflight Transactions</li> </ul>                                 | N/A             | Drop 3                 |
| Holding Adjustments   | Create                   | <ul style="list-style-type: none"> <li>Holding Adjustments</li> </ul>                                   | Y               | Drop 4                 |
| Corporate Action Event Information                                    | Finalise Bid             | <ul style="list-style-type: none"> <li>Corporate Action Event Details (limited fields)</li> </ul>       | Y               | Drop 5*                |
| Corporate Action Election – Takeovers/Buybacks (initiated by Offeror) | Create, Amend, Cancel    | <ul style="list-style-type: none"> <li>Inflight Elections</li> </ul>                                    | Y               | Drop 5*                |
| Corporate Action Election (initiated by Participant)                  | Authorise                | <ul style="list-style-type: none"> <li>Inflight Elections</li> <li>Corporate Action Payments</li> </ul> | Y               | Drop 5*                |

\* Drop 5 UI functionality is currently under analysis

Registry functionality is anticipated to be used only as a backup method and/or to assist testing.

# 03 - CHESS UI Capabilities – Payment Provider

| Functional Area   | Actions Available via UI | View & Query available in UI                          | Maker / Checker | Proposed Delivery Drop |
|-------------------|--------------------------|---|-----------------|------------------------|
| Funds Obligations | Authorise                | Batch Obligations                                     | Y               | Drop 3                 |
|                   | N/A                      | RTGS Funds Obligations                                | N               | Drop 5*                |
| Funds Projection  | N/A                      | Batch Funds Projections<br>(for current business day) | N               | Drop 3                 |

\* Drop 5 UI functionality is currently under analysis

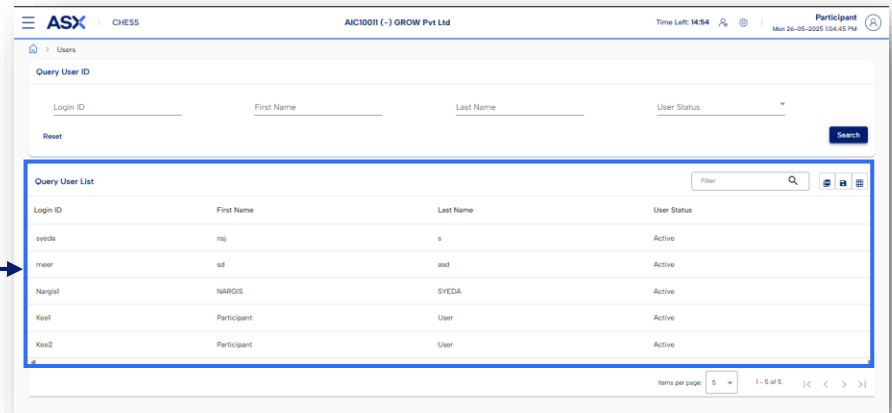
# 03 - User Onboarding & Permissions

Users are created and managed in ASX Online by a designated Enterprise Administrator at your Organisation, where they can be assigned to CHESSE UI test and production environments.

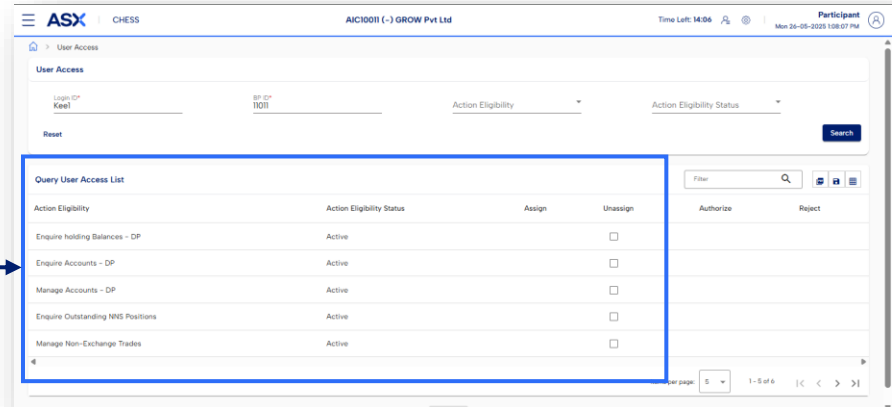
Users can be added and removed from all ASX services using ASX Online.

Once assigned to CHESSE UI the Enterprise Administrator can manage the access rights of each user within the CHESSE UI itself.

Users can be queried and managed via dedicated UI screens



Granular permissions, including query and transactions can added and removed be managed via dedicated screens



# 03 - User Login

Users may login using ASX single-sign on.

The solution has the capability to support multiple UICs / PIDs.

Users may login using a username email address and password. The username and password will be the same as for other ASX services enabled through ASX Online

ASX | CHES

User Id

Password

Login

Users who have access to multiple UICs (or PIDs) may select which UIC they are accessing upon login. For registries there will be one UIC per-issuer and a single login

ASX | CHES

SYSADMIN

Time Left: 14:13

Wed 04-02-2026 4:39:45 AM

Choose UIC

Company ID UIC

Search

| Company ID | UIC    | BIC | Name              |
|------------|--------|-----|-------------------|
| -          | 10003  | -   | ASX Clear Pty Ltd |
| -          | 346662 | -   |                   |
| -          | 346676 | -   |                   |
| -          | 346703 | -   |                   |
| -          | 346726 | -   |                   |
| -          | 346866 | -   |                   |

The ASX Clearing Corporation (ASX Clearing Corporation) and securities settlement for both the equities and fixed income markets (ASX Settlement Corporation) (Australian Securities Exchange) central counter party risk transfer (ASX Clearing Corporation).

# 03 - Data Query

Views can be customised and information further filtered

Information may be retrieved via the UI by entering specific search criteria on the query screen

Data is returned in a paginated table

ASX | CHES 11011 (-) Azorte Pvt Ltd Time Left: 13:38

Query Accounts

HIN Account Type Ownership Type Account Status

Workflow Status Holder Name Country

Reset

Participant

Search columns...

Select / Unselect all

Account Type

Ownership Type

Account Status

Account Name

Designation

Reset Apply

Account Details List

| HIN                        | Account Type          | Ownership Type | Account Status           | Account Name | Designation     | Country   | Address  | Workflow Status              |
|----------------------------|-----------------------|----------------|--------------------------|--------------|-----------------|-----------|--|------------------------------|
| <a href="#">0000001231</a> | Settlement Entrepot   | Single Holder  | Active                   | FDS          |                 | Albania   | 01, AU   | Active                       |
| <a href="#">0000003456</a> | Sponsored             | Single Holder  | Locked by ASX Operations | KEERTHIGA    | Trading account | Australia | UNIT400 , TALL BUILDING , BOND STREET, NSW, 2564, AU | Locked by ASX Operations - P |
| <a href="#">0000004049</a> | Accumulation Entrepot | Single Holder  | Active                   | Sandhiyad    |                 | Australia | UNIT400 ,FDSDS,CS, NSW, 2564, AU                     | Active                       |
| <a href="#">0000004981</a> | Settlement Entrepot   | Single Holder  | Active                   | fdsfds       |                 | Australia | dsfd,qqqq,qqqq, NSW, 01, AU                          | Active                       |
| <a href="#">0000004999</a> | Settlement Entrepot   | Single Holder  | Active                   | fdsfds       |                 | Australia | dsfd,qqqq,qqqq, NSW, 01, AU                          | Active                       |

Permissions within the User Interface will determine which query screens are made available to the User

# 03 - Detail Pages & Actions

Users may view details of all fields on a detail page →

Actions can be performed on an individual transaction or account →

The screenshot displays the ASX account details page for account 00097 (-) Sandy dp2. The page is titled "Account Details" and includes a close button (X) in the top right corner. The account details are organized into sections: "Basic Details", "Address Details", "Holder 1 Details", and "Last Action Details".

**Holder 1 Details:**

|                      |              |              |           |
|----------------------|--------------|--------------|-----------|
| Holder Name          | Holder Type  | Holder Id    | ACN       |
| Kaleem Securities    | Organisation | 000002677801 | 078654546 |
| LEI                  |              |              |           |
| ASX4567876756465AS89 |              |              |           |

**Last Action Details:**

|               |                 |                 |                     |
|---------------|-----------------|-----------------|---------------------|
| Maker User Id | Checker User Id | Workflow Status | Last Updated        |
| Titan2        | Titan2          | Active          | 2026-01-19 12:12:04 |

At the bottom of the page, there are three action buttons: "Lock", "Delete", and "Modify".

# 03 - Data Entry

For each request submitted via the CHES UI, users are required to create a unique transaction ID in the format “UIC” followed by a unique transaction number.

In some cases, additional business validations are performed, such as balance checks.

Data can be entered via the interface using smart forms. Field level validations are performed in most scenarios.

The CHES UI will display a message to indicate the transaction was successfully submitted to CHES

ASX | CHES | 00097 (-) Sandy dp2 | Time Left: 14:01 | Rockefeller Capita... | Wed 14-01-2023 4:52:49 PM

Create Settlement Instruction

Trade Details

Transaction ID\*  
Transaction ID is required.

Intended Settlement Date\*  
14-01-2026

Securities Movement Type\*  
Securities Movement Type is required

Payment\*  
Payment is required

Matching Indicator\*  
Matching Indicator is required

Supplementary Reference

Participant Reference

Underlying Reference

Settlement Method\*  
Settlement Method is required

Transaction Basis\*  
Transaction Basis is required

Trade Place Type

Trade Place ID

Trade Place Description

Partial Settlement Indicator\*  
Partial Settlement Indicator is required

Unique Transaction ID

Deliverer Details

UIC\*  
UIC is required.

Account (HIN)

Party Name

ASX | CHES | 11011 (-) Azorte Pvt Ltd | Time Left: 14:56 | Participant | Mon 26-05-2023 12:35 PM

11011

Account Type\*

Communication Preference

Mobile Number

Residency Indicator

0000026751 - Account creation request submitted

Address Details

Address Line 1\*

Address Line 2

Address Line 3

Registered Address Town Name\*

Country\*

State

Post Code

Holder 1 Details

Holder Type\*

Holder Name\*

Reset Create

# 03 - Maker / Checker

The CHESSE UI enables Maker / Checker for important transactions as an additional validation check.

Where Maker / Checker is required, the checking function must be completed by a different user to finalise the transaction.

The application of Maker / Checker controls varies by feature. For example, settlement instructions do not require a Checker, whereas account creation processes are subject to Maker / Checker requirements.

The screenshot displays the ASX CHESSE interface for account creation. At the top, the header shows 'ASX | CHESSE', the user '11011 (-) Azorte Pvt Ltd', and the time 'Time Left: 14:35'. Below the header, there is a 'Query Account' section with a form containing fields for HIN (0000026751), Account Type, Ownership Type, Account Status, Workflow Status, Holder Name, and Country. A 'Reset' button and 'Create'/'Search' buttons are also present. Below this is an 'Account Details List' table with columns: HIN, Account Type, Ownership Type, Account Name, Designation, Account Status, Country, Address, Workflow Status, and Actions. The first row of data shows HIN '0000026751', Account Type 'Sponsored', Ownership Type 'Single Holder', Account Name 'asxdc', Designation, Account Status 'Pending Creation', Country 'New Zealand', Address 'ASX, 3344, NZ', and Workflow Status 'Entered'. Two blue boxes highlight the 'Account Status' and 'Workflow Status' columns, with blue arrows pointing to them from the text below.

| HIN        | Account Type | Ownership Type | Account Name | Designation | Account Status   | Country     | Address       | Workflow Status | Actions |
|------------|--------------|----------------|--------------|-------------|------------------|-------------|---------------|-----------------|---------|
| 0000026751 | Sponsored    | Single Holder  | asxdc        |             | Pending Creation | New Zealand | ASX, 3344, NZ | Entered         |         |

Maker / Checker functionality is used for some transactions. This requires another user to review and authorise the transaction entry prior to submission.

# 03 - Data Query

## Additional Examples

### Query Settlement Instructions

Transaction ID: 10055ASXTRANSACTION

Security Code: \_\_\_\_\_ Matching Indicator: \_\_\_\_\_ Settlement Method: \_\_\_\_\_

Payment: \_\_\_\_\_ Delivering Party: \_\_\_\_\_ Delivering Account (HIN): \_\_\_\_\_ Receiving Party: \_\_\_\_\_

Receiving Account (HIN): \_\_\_\_\_ Settlement Date From: \_\_\_\_\_ Settlement Date To: \_\_\_\_\_ Securities Movement Type: \_\_\_\_\_

Transaction Basis: \_\_\_\_\_ Trade Status: \_\_\_\_\_ ISIN: \_\_\_\_\_ Supplementary Reference: \_\_\_\_\_

Reset Search

| Account Servicer | Transaction ID | Securities Movement Type | Transaction ID                      | Trade Status | Matching Reference | Delivering Party | Receiving Party | Delivering Account | Receiving Account | ISIN        | Security Code |
|------------------|----------------|--------------------------|-------------------------------------|--------------|--------------------|------------------|-----------------|--------------------|-------------------|-------------|---------------|
| OTC000000002824  |                | Deliver                  | <a href="#">10055ASXTRANSACTION</a> | Settled      | FOP000000006450    | 10055            | 10055           | 0000020966         | 0000020952        | AU000080079 | BOO           |

### Query Holdings

HIN: 0000007721 ISIN: \_\_\_\_\_ Security Code: \_\_\_\_\_ Holding Date: \_\_\_\_\_

Reset Search

| HIN        | ISIN         | Security Code | Security Description | Total Units | Available Units | Holding Date |
|------------|--------------|---------------|----------------------|-------------|-----------------|--------------|
| 0000007721 | AU0000041410 | AU0000041410  | KEERTHGA             | 1000.0      | 1000.0          | 26-05-2025   |
| 0000007721 | AU0000061518 | AU0000061518  | KEERTHGA             | 1000.0      | 1000.0          | 26-05-2025   |
| 0000007721 | AU6802909990 | AU6802909990  | Nargis               | 2000.0      | 2000.0          | 26-05-2025   |
| 0000007721 | AU7138200800 | AU0680        | Madhumitha           | 29.0        | 29.0            | 26-05-2025   |
| 0000007721 | AU7865432188 | AU7865432188  | Keerthiga            | 100.0       | 100.0           | 26-05-2025   |

### Query Net Positions

Net Position Identifier: \_\_\_\_\_ ISIN: \_\_\_\_\_ Security Code: \_\_\_\_\_ Securities Movement Type: \_\_\_\_\_ Settlement Date From: \_\_\_\_\_

Settlement Date To: \_\_\_\_\_ Position Account Number: \_\_\_\_\_ Position Account Type: \_\_\_\_\_ Status: \_\_\_\_\_ Currency: \_\_\_\_\_

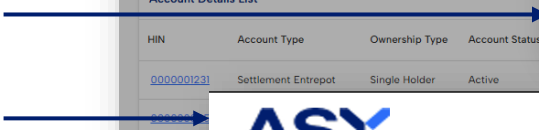
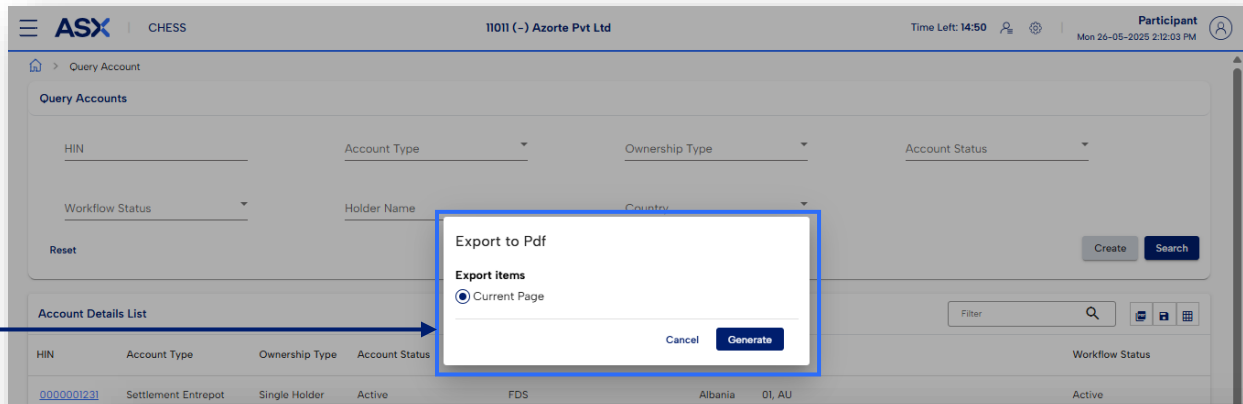
Settlement Obligation ID: \_\_\_\_\_

Reset Search

| Net Position Identifier           | ISIN        | Security Code | Securities Movement Type | Net Quantity | Currency | Net Amount | Settlement Date | Position Account Number | Position Account Type      |
|-----------------------------------|-------------|---------------|--------------------------|--------------|----------|------------|-----------------|-------------------------|----------------------------|
| <a href="#">SOE00000000000467</a> | AU0000FN701 | AUG701        | Deliver                  | -3.0         | AUD      | -6.0       | 10-06-2025      | 27550GA001              | House- For House Account   |
| <a href="#">SOE00000000000468</a> | AU0000FN701 | AUG701        | Receive                  | 3.0          | AUD      | -6.0       | 10-06-2025      | 27550GA002              | Client- For Client Account |
| <a href="#">SOE00000000000469</a> | AU0000FN701 | AUG701        | Receive                  | 3.0          | AUD      | -6.0       | 13-06-2025      | 27550GA002              | Client- For Client Account |
| <a href="#">SOE00000000000470</a> | AU0000FN701 | AUG701        | Deliver                  | -3.0         | AUD      | -6.0       | 13-06-2025      | 27550GA001              | House- For House Account   |
| <a href="#">SOE00000000000471</a> | AU0000FN701 | AUG701        | Receive                  | 3.0          | AUD      | -6.0       | 23-06-2025      | 27550GA003              | Segregated- For Segregatec |

# 03 - Data Export

When permitted, users can export data to PDF or XLS



### Query Accounts

Date: 30/10/2025 10:33:34 pm

| HIN        | Account Type        | Ownership Type | Account Name            | Designation             | Account Status        | Country   | Address   | Workflow Status                 |
|------------|---------------------|----------------|-------------------------|-------------------------|-----------------------|-----------|---|---------------------------------|
| 0000008651 | Settlement Entrepot | Single Holder  | ABRAHAM ROSHAN PTY LTD  | Abraham Roshans Account | Locked by Participant | Australia | XXX100, Avengers Building, It's Confidential Street | Activate - Pending              |
| 0000008668 | Settlement Entrepot | Single Holder  | ABRAHAM ROSHAN PTY LTD  | Abraham Roshans Account | Locked by Participant | Australia | XXX100, Avengers Building, It's Confidential Street | Active                          |
| 0000008681 | Settlement Entrepot | Single Holder  | ABRAHAM ROSHAN PTY LTD  | Abraham Roshans Account | Active                | Australia | XXX100, Avengers Building, It's Confidential Street | Active                          |
| 0000010530 | Sponsored           | Single Holder  | Helen                   |                         | Invalid               | Australia | Perth park town                                     | Active                          |
| 0000010672 | Direct              | Single Holder  | Mark                    | Associate               | Invalid               | Australia | Melbourne towers                                    | Rejected                        |
| 0000010792 | Settlement Entrepot | Single Holder  | JANE ANNE BLOGS PTY LTD | JanesInvestmentAccount  | Active                | Australia | UNIT400, TALL BUILDING, BOND STREET                 | To be Delete - Pending          |
| 0000010792 | Settlement Entrepot | Single Holder  | JANE ANNE BLOGS PTY LTD | JanesInvestmentAccount  | Active                | Australia | UNIT400, TALL BUILDING, BOND STREET                 | To be Delete - Pending          |
| 0000010792 | Settlement Entrepot | Single Holder  | JANE ANNE BLOGS PTY LTD | JanesInvestmentAccount  | Active                | Australia | UNIT400, TALL BUILDING, BOND STREET                 | To be Delete - Pending          |
| 0000010802 | Settlement Entrepot | Single Holder  | JANE ANNE BLOGS PTY LTD | JanesInvestmentAccount  | Active                | Australia | UNIT400, TALL BUILDING, BOND STREET                 | Modify - Pending                |
| 0000010854 | Settlement Entrepot | Single Holder  | MARKSON                 | ASSOCIATE               | Active                | Australia | Perth park town                                     | Locked by Participant - Pending |
| 0000011002 | Sponsored           | Joint Holder   | mark                    |                         | Active                | Australia | Melbourne   | Locked by Participant - Pending |
| 0000011054 | Sponsored           | Joint Holder   | Django                  |                         | Pending Creation      | Australia | Perth park town                                     | Entered                         |
| 0000011100 | Direct              | Single Holder  | Goldman & schmaltz      |                         | Pending Creation      | Australia | skyfall building                                    | Entered                         |
| 0000011207 | Sponsored           | Single Holder  | JAMESvsyf               | Investor                | Pending Creation      | Australia | 1000, PARAMATTA ROAD, WESTFIELD                     | Entered                         |
| 0000011213 | Sponsored           | Joint Holder   | Shan                    | STAR                    | Pending Creation      | Australia | Opera House, Wynyard, Sydney                        | Entered                         |

# 04 AMQP

# 04 - AMQP

## Overview

- AMQP is a fault-tolerant messaging channel designed so message transmission can resume as normal after hardware, network, or software component outages
- Delivery is guaranteed via acknowledgements. Messages are handled with an “at-least-once” delivery model - messages are delivered, but duplicates can occur if acknowledgements aren’t received (so clients must be resilient to duplicates)
- Durability & recoverability - acknowledgements imply the message receiver has taken responsibility for delivery / redelivery, and (as described) acknowledgements should only occur after the message receiver has persisted and replicated the messages
- Clear failover / reconnect expectations - during disruptions, CHES Users should reconnect to the same endpoint at 20-second intervals at least 15 times (i.e., up to 300 seconds) before escalating to ASX support
- Safe resend behaviour on failures: if send fails, clients resend; duplicate protection is supported at ISO business-message level using BizMsgHdr, which must remain unchanged when resending
- ASX provided a detailed overview of AMQP in the [November 2025 Implementation & Transition Working Group](#).

In current CHES, Software Providers can reconcile messages received using a sequence number. This is not considered a scalable design and is replaced by guaranteed delivery and receiver acknowledgement.

# 04 - AMQP Queues

## Overview

AMQP can be configured to use the same queue for multiple UICs.

AMQP can also be configured to use multiple queues for different business processes through multiple AICs.

- For **C&S Participants**, ASX proposes that high volume clearing activity (i.e. trade notifications) is segregated onto a separate queue from other processes (settlement and depository messages)
- For **Registries**, different queues can be used for an individual or group of Issuers
- ASX recommends that larger Registries consider configuring multiple queues based on volumes to improve speed and throughput.

Are there any other configurations that would be helpful for the market to support?

# 05 BCP & Resilience Tooling

# 05 - BCP & Resilience Tooling Overview

Software Providers are expected to provide support for backup tooling, as this will form part of the accreditation and CHES User Readiness phases



**ISO 2022 Ingest Message Tool**

Alternative channel for CHES to send and receive ISO 2022 messages from CHES Users.



**ISO 2022 Message Extract Tool**

Alternative channel for CHES Users to receive their ISO 2022 messages



**ISO 2022 Message Replay Tool**

Ability for CHES to resend ISO 2022 messages over AMQP

# 05 - Scenarios

## Resiliency & BCP

The following scenarios have been considered in developing the relevant tooling to support potential CHES User issues:

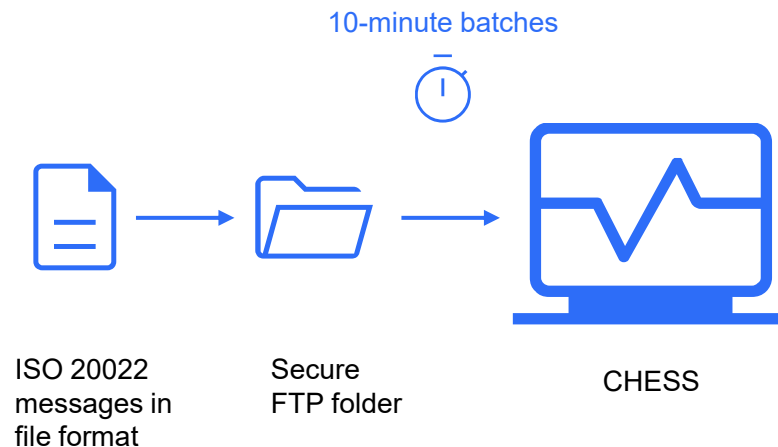
| CHES Participant Issue   | Tooling available  |
|--|--|
| <b>Connectivity issue</b> – system is functioning normally and generating messages, networking or connectivity issue prevents sending/receiving messages to CHES | <ul style="list-style-type: none"><li>• ISO 20022 Alternative Channel (Message Ingest Tool &amp; Message Extract Tool)</li><li>• CHES UI</li></ul> |
| <b>System issue (messaging send/receive)</b> – system has some functionality but cannot generate messages  | <ul style="list-style-type: none"><li>• CHES UI</li></ul>  |
| <b>System issue (lost/corrupt messages)</b> – user system has encountered an issue and detected message loss   | <ul style="list-style-type: none"><li>• ISO 20022 Message Replay Tool</li></ul>  |
| <b>System issue (lost/corrupt data)</b> – user system has lost or corrupted data   | <ul style="list-style-type: none"><li>• Reconciliation via Message Based Reporting (limited scenarios)</li></ul>                                   |
| <b>Business/operational issue</b> – CHES user has a business or operational issue  | <ul style="list-style-type: none"><li>• <i>Incident management</i></li></ul>   |

In the event of an issue impacting all or a significant number of CHES users, it would be classified as a Major Incident and managed in accordance with ASX's incident management framework. In such circumstances, the use of tooling is unlikely to be appropriate.

# 05 - ISO 20022 Alternative Channel

## Message Ingest Tool

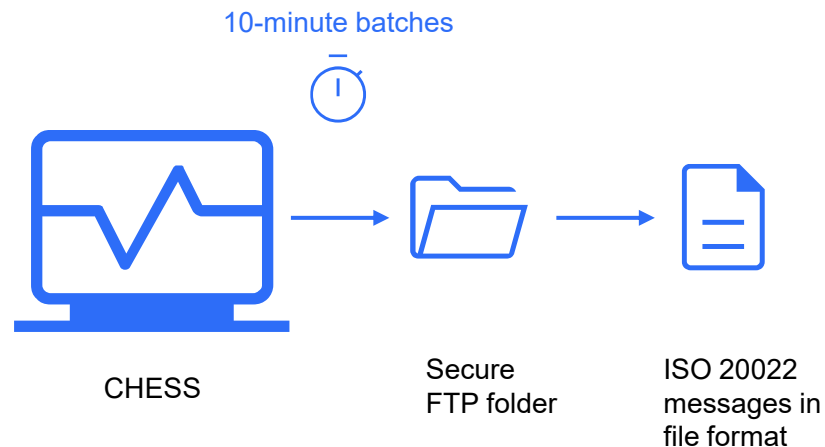
- The ISO 20022 Message Ingest Tool provides the ability for CHES Users to send their messages to CHES via an FTP site, rather than AMQP, in case of connectivity or networking issues
- Messages must be supplied in ISO 20022 format and conform to schema and business validations
- Messages are consumed in batches at 10-minute intervals
- The message ingest tool can be activated upon request from a CHES user experiencing issues
- It is not possible to use AMQP and ISO 20022 Alternative Channel at the same time.
- The message ingest tool will be restricted to a max file size per file, where if a participants file will exceed the file size it is recommended to split the file
- The Secure FTP folder will be accessible over ASXNet. ASX will explore fallback options for file transfer in case of CHES User networking issues.



# 05 - ISO 20022 Alternative Channel

## Message Extract Tool

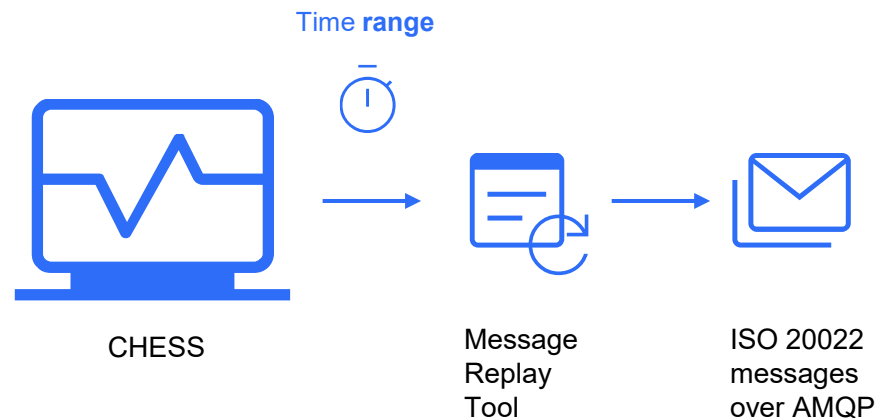
- The ISO 20022 Message Extract Tool provides the ability for CHES Users to receive their messages from CHES from an FTP site, rather than AMQP, in case of connectivity or networking issues
- Messages will be in ISO 20022 format and conform to schema and business validations
- The messages will be extracted from the queues and provided in batches at 10-minute intervals
- The message extract tool is activated upon request from a CHES user which is experiencing issues
- Upon resumption of normal processing ISO 20022 messages will not be resent over AMQP
- The message ingest and extract tool are designed to work in parallel and cannot be operated separately.



# 05 - ISO 20022 Message Replay Tool

## Summary

- The ISO 20022 Message Replay tool provides the ability for CHESSE to replay messages over AMQP in the case that a CHESSE User is experiencing a system issue resulting in message loss
- Messages will be replayed based on a time range (as provided by the CHESSE user)
- Messages are replayed - not regenerated - and will be identical to messages lost. Software Providers will need to be able to detect and discard duplicate messages using the Message ID
- The ISO 20022 Message Replay Tool can be used in conjunction with the ISO 200022 Message Extract Tool if necessary (i.e. messages can be replayed and extract to file)
- Passthrough Investor Data messages containing a TFN cannot be replayed using this tool as the information is not retained, by design.



# 05 - Reconciliation via Message Based Reporting

## Summary

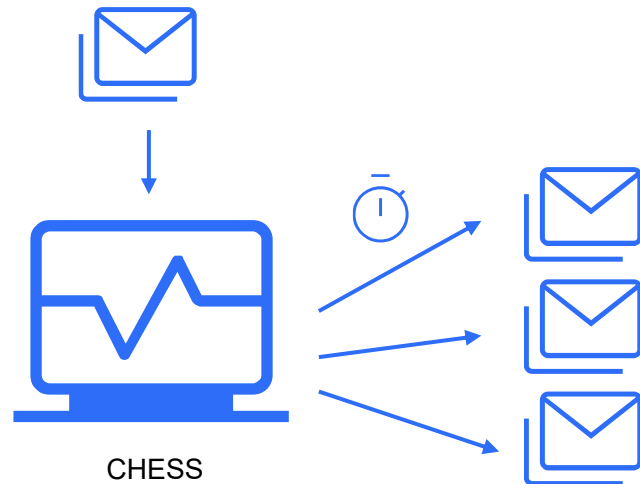
Message based reporting can be used to reconcile, in cases where a data issue has occurred.

CHES plans to offer the following reconciliation reports:

- **Accounts** – a Participant or Issuer may request generation of the registration details and status of all accounts
- **Holdings** – a Participant or Issuer may request the current balance of one or all accounts (including sub-balances and CEB)
- **Transaction Summary Statement** – a Participant may request a summary of all transactions for a given HIN

Bulk reconciliation reports in high volumes can be requested intra-day and will be generated during end of day processing. In an extreme scenario this could be triggered early by ASX, if required.

Individual reports can be requested and will be received intra-day (excluding transaction summary).



# 05 - CHESSE UI as a BCP Tool

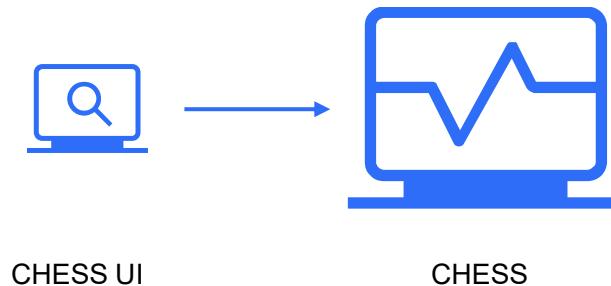
## Summary

**In most cases the CHESSE UI is not suitable as a BCP tool as transactions need to be entered individually via a UI screen.**

There may be limited situations where it may augment a CHESSE User's existing BCP processes, such as:

- Performing critical transfers between accounts prior to batch settlement initiation
- Matching bilaterals prior to batch settlement initiation.

It will be strongly encouraged for Payment Providers to be onboarded to the CHESSE UI as a backup method given their criticality in the batch settlement process.



# 06 Next Steps

# 06 – Next Steps & Future Topics

ASX will prepare a summary of this session for the Technical Committee including any actions.

## **CHESSE UI, Connectivity and Resilience**

Further details on the CHESSE UI will be published in the UI User Guide, which is being delivered iteratively over the drops.

We welcome bilateral discussions with interested parties to discuss CHESSE UI use cases further.

BCP and resiliency topics will be progressed further via working groups in 2026, as necessary.

## **Business Design Working Groups for the remainder of 2026**

For the remainder of 2026, ASX plans to utilise the Business Design Working Groups for deep dives on remaining topics, examples of which include:

- ETF allocation / redemption processes (timing TBC)
- Migration Scope (proposed for August)
- Levies (timing TBC)
- Rule considerations (as applicable).



# Questions

# Disclaimer / Important Information

Information provided in this presentation is for educational purposes and does not constitute financial product advice.

You should obtain independent advice from an Australian financial services licensee before making any financial decisions. Although ASX Limited ABN 98 008 624 691 and its related bodies corporate (“ASX”) has made every effort to ensure the accuracy of the information as at the date of publication, ASX does not give any warranty or representation as to the accuracy, reliability or completeness of the information.

To the extent permitted by law, ASX and its employees, officers and contractors shall not be liable for any loss or damage arising in any way (including by way of negligence) from or in connection with any information provided or omitted or from any one acting or refraining to act in reliance on this information.

Past performance of the ASX sharemarket and of any financial products referenced in this presentation is not a reliable indicator of future performance.

© Copyright 2025 ASX Operations Pty Limited ABN 42 004 523 782. All rights reserved 2025.



Thank you

ASX

This document provides general information only and may be subject to change at any time without notice. ASX Limited (ABN 98 008 624 691) and its related bodies corporate ("ASX") makes no representation or warranty with respect to the accuracy, reliability or completeness of the information. To the extent permitted by law, ASX and its employees, officers and contractors shall not be liable for any loss or damage arising in any way (including by way of negligence) from or in connection with any information provided or omitted, or from anyone acting or refraining to act in reliance on this information.

© Copyright ASX Operations Pty Limited ABN 42 004 523 782. All rights reserved 2026.