Program Newsletter

CHESS Replacement homepage

CHESS Replacement Project Update

September 2021

As September starts, it is interesting to look back and reflect on how much has been achieved despite the challenges of remote project working. I'm pleased to be able to provide the following update on recent progress, and to confirm that the proje ct remains on track to open ITE1 in November 2021, and to go-live with the replacement system in April 2023.

On 31 August 2021, ASX released a consultation paper on the third of three tranches of operating rule amendments required to facilitate the implementation of the new system that will replace CHESS, together with the combined package of rule amendments across those three tranches.

The amendments in tranche 3 relate to netting, settlement, reporting and miscellaneous amendments for 'Day 1' implementation of the new system, including as revised to reflect changes to netting and settlement workflows as consulted on in 2021. As part of the miscellaneous amendments, they also include transitional rules addressing migration aspects for the cutover to the new system. ASX is now seeking feedback from impacted stakeholders on the proposed changes. Written submissions in response to the consultation paper are requested by Tuesday 14 December 2021.

On 31 August 2021, ASX also published the "Electronic delivery of CHESS holding statements and notifications: technical and process factsheet." This guide provides information for Participants who wish to offer this service to their customers, including how to opt-in/out of receiving electronic CHESS statements, the fee waiver for opting in, processes for undeliverable emails and an overview of the CHESS Statements portal.

Additionally, we published the August documentation release which reflects changes made to the design for netting and settlement, providing the market with updated operating guides (APGs), message accreditation scripts as well as other minor updates.

Following the update provided at our last Implementation & Transition working group on replacing Signal B with a FIX industry standard interface and the market feedback provided, ASX will now offer a parallel run of the legacy Signal B service alongside the new FIX based Signal B interface for a period of three months. For further information on Signal B replacement, please see the Signal B FIX Specification Manual that was published in August 2021.

In September we will be focusing on publishing further content to our stakeholders that is needed before we open the ITE1 environment. We will also be kicking off a new Software Provider Readiness working group for those connecting to ITE1. Our final drop of functional code, CDE 10 will now be released mid to late September, and will include the updated functionality for n etting and settlement as previously communicated to the market at the end of June.

I hope you find these newsletters useful, but if you have any feedback or enquires related to the CHESS Replacement project, please continue to direct them to CHESSReplacement@asx.com.au.

Tim Hogben

Group Executive
Securities and Payments

Engagement Activities

Documentation Spotlight

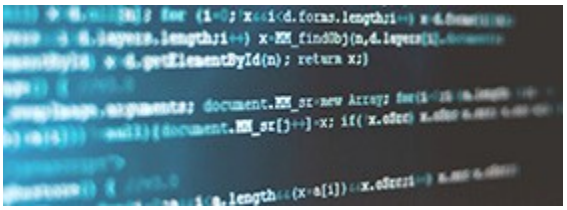
This section provides a spotlight on the information presented in the ASX CHESS Replacement documentation portal. This month highlights recently updated CHESS UI User Guide, plus the Connectivity Guide to support ITE1.

Read more >

Implementation & Transition Working Group

ASX hosted the most recent implementation & transition working group (I&T WG) on 30 June 2021, which focused on an information paper that set out the industry testing strategy. Our next I&T WG will be on 29 September.

Read more >



Customer Development Environment Updates

Our tenth code drop (CDE 9.5) was released on 19 April 2021 and work continues on the remaining system development. ASX expect to publish our next and final functional release of CDE mid to end September 2021.

Read more >

Rule Amendment & Public Consultation Timeline

The third tranche of operating rule amendments as well as a consolidated rules package across all the rule amendments for the new system was released for public consultation on 31 August 2021.

Read more >

Customer Frequently Asked Questions

We have established the CHESS Replacement mailbox and CSP Support mailbox as a means of addressing any project related questions. We have highlighted new questions that may be of interest.

Read more >

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CHESSReplacement@asx.com.au

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Documentation Spotlight

This section provides a spotlight on the information presented in the ASX CHESS Replacement documentation portal.

This month highlights recently updated CHESS UI User Guide, plus the Connectivity Guide to support ITE1. We have also provided a list of other recent documentation publications since our last newsletter.

CHESS Replacement Documentation Portal Updates

In July ASX updated another significant section of the published documentation by promoting the CHESS UI User Guide content to the main home page.

- Content relating to the use of the new CHESS User Interface has been relocated to be more prominent in the documentation menu.
- The CHESS UI User Guide has been progressively published and covers functionality that will be available in the future, including:
  - User administration and management
  - Account management
  - Settlement searching
  - Payment provider administration
  - Approval workflows
  - General usability features.
- Further capabilities will be added to the User Guide in subsequent releases for the remaining content:
  - mFund features
  - bulk upload feature.

CHESS UI User Guide

The CHESS UI User Guide is expected to be complete by end October 2021.

Industry Test Strategy - Software Provider Readiness Phase

At the end of June 2021 ASX published the Industry Test Strategy which outlined the approach to the different test stages and test environments and provided an overview on what they need to do at each stage including what testing needs to be evidenced to be successful and progress onto the next stage.

The first of these phases is for software providers known as **Software Provider Readiness** test stage. The stage comprises of the system testing phase and accreditation. These test phases are to be performed in industry test environment 1, or ITE1. Several test phase artefacts will be provided to the market in future documentation releases in advance of the market opening of the ITE1 environment.

At the end of July ASX published a Connectivity Guide for those wishing to connect to ITE1 for testing. The purpose of the Connectivity Guide is to inform software providers on the the technical connectivity requirements to connect to the CHESS replacement system and describes the different connectivity methods available for the various Industry Test Environments (ITE). This first iteration of the guide, published in July 2021, is aimed primarily at software providers, including those developing in-house, connecting to Industry Test Environment 1 (ITE1). The target audience includes network architects, software developers, business analysts, and project managers.

- This guide will be updated to provide additional information as the other Industry Test Environments (i.e. ITE-M and ITE2) open for the market.

Further artefacts to support software providers and ITE1 will be published in subsequent releases including - guide to ITE1 testing services and information on failover and recovery in this environment.

Details of the Industry Test Strategy were walked through at the recent Implementation & Transition working group. A copy of the presentation, webinar recording and Q&A can be found here.

Additional published documentation

The following additional information was also published since our last newsletter:

- August 2021 Documentation Release Notes - updates including:
    - Functional specifications:
        - Demand Statement Request
        - Daily Interest Earned Report
        - Daily Collateral Statement Report
        - Class Merger
    - Messaging accreditation scripts - reflecting Netting and Settlement updates
    - APG updates - reflecting Netting and Settlement updates
    - Forward Release Plan update for CDE10.
- What's New - 13 August - update.
- July 2021 Documentation Release Notes - updates including:
    - New Connectivity Guide information for those wishing to connect to ITE1 for testing
    - API contract functional specification updates for Holding Administration Locks and DRP/BSP Elections
    - Other minor documentation updates.
- What's New - 16 July - update.

Further information

Other topics relating to CHESS Replacement documentation can be found at the following links:

- Documentation Portal - home page
- ASX Operational Procedures & Guidelines
- Documentation Release Notes
- Documentation What's New updates
- Documentation FAQs

A list of upcoming project activities can be read here.

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Implementation & Transition Working Group

I&T WG - 30 June 2021

ASX hosted our last implementation & transition working group (I&T WG) on 30 June, which focused on stepping members through each section of an information paper that set out the industry testing strategy.

This included an overview on the different industry test stages, test environments including a dedicated environment for testing migration (ITEM), and timeline.

Further details were provided on software provider readiness including details on how to test the performance of their interfaces with the CHESS replacement system, and how system testing, inflight migration testing and technical accreditation will be run.

Similarly, further details were provided on CHESS user readiness including how operational readiness will be conducted and how industry wide testing will be run, providing the opportunity to perform a 'day in the life' of activities for their business workflows.

A forward release plan was also provided for when ASX will publish additional information to supplement the industry testing strategy, including a high level description on the purpose of each document.

Members were also provided with an update on recent project milestones.

The recording for the 30 June webinar, presentation materials and Q&A can be found here.

Coming up

ASX did not host an implementation & transition (I&T) working group in August. The next I&T WG will be held on **Wednesday 29 September** and include an update on the recently published third tranche of operating rules amendments as well as our last code release to CDE. Calendar invitations will follow accordingly.

Materials from previous I&T Working Group meetings can be accessed via the CHESS Replacement Stakeholder Engagement website.

REMINDER: For your consideration in planning your implementation
For your consideration in any CHESS changes:

- If you are planning any migrations or other significant changes to your current CHESS configuration please contact the Customer Readiness team at participant.transitions@asx.com.au.

A list of upcoming project activities can be read here.

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Customer Development Environment Updates

ASX's customer development environment (CDE) follows the development cycle of the CHESS Replacement project. Functionality, security features and test capabilities will be progressively added to the environment during the life of the project in iterative cycles. Details and objectives of CDE and how to access are provided in our technical documentation portal here.

Our tenth code drop (CDE 9.5) was released on 19 April and work continues on the remaining system development.

ASX expect to provide our next release by mid to end September 2021, this will be a final functional release of software known as CDE 10 which includes the functional code for the netting and settlement changes and combined with DRP/BSP functionality and enquiry workflows that was previously scheduled for CDE 11. This will complete the full functional payload for day 1 go-live.

CDE - Coming next

ASX expect to provide our next release by mid to end September 2021, this will be a final functional release of software known as CDE 10 which includes the functional code for the netting and settlement changes and combined with DRP/BSP functionality and enquiry workflows that was previously scheduled for CDE 11. This will complete the full functional payload for day 1 go-live.

CDE10 will contain remaining functional features including;

- netting and settlement changes
- DRP/BSP elections
- remaining demand reporting
- rectified known issues and defects.

The CDE Forward Release Plan provides details of the remaining timetable.

CDE reminders:
The CDE supports early access development and low volume transaction and functional testing, following iterative development of the technical solutions.

- We have published for users details of CDE constraints and any known limitations.
- Details of how to request access to the CDE are available in our Technical Documentation portal.

A list of upcoming project activities can be read here.

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Rule Amendment & Public Consultation Timeline

Market Consultation

ASX needs to make rule amendments to facilitate the implementation of the new system that will replace CHESS. These rule amendments are being progressed through three tranches.

The consultation rounds on the first and second tranches of draft rule amendments to support the new system have now been completed. A further final round of consultation incorporating both the third tranche of draft rule amendments to support the new system and a consolidated rules package across the three tranches commenced 31 August 2021, with a 15 week consultation period concluding 14 December 2021.

The rule development timeline captures the key dates for the regulatory and public consultation processes across the three tranches of rule amendments for Day 1 of the new system. It also covers rule amendments addressing new business requirements generated through industry consultation for CHESS Replacement but which are not dependant on the new system and which have now been delivered through ASX business as usual (BAU) processes or the Corporate Actions STP Phase 2 Project. The timeline shows both completed and upcoming processes.

Public Consultation on Tranche 1

The **first** tranche of operating rule amendments was released for public consultation on 15 November 2019, with the period for feedback closing on 17 January 2020. The content related to accounts, participants, securities and pre-settlement aspects for Day 1 CHESS replacement system functionality.

ASX received a total of 12 submissions from a range of stakeholders including participants, registries, industry bodies and vendors.

On 22 May 2020, ASX released its response to consultation feedback received on the tranche 1 draft rule amendments. The response to consultation feedback contains:

- a summary of the feedback received in stakeholder submissions;
- ASX's response to such feedback; and
- the draft rule changes made to the ASX Settlement Operating Rules and Procedures and ASX Clear Operating Rules and Procedures, which take into account feedback received.

Public Consultation on Tranche 2

The **second** tranche of operating rule amendments was released for public consultation on 21 February 2020, with the period for feedback closing on 29 May 2020 (extended from 3 April). The content related to corporate actions, mFund and RTGS payment aspects for Day 1 CHESS replacement system functionality. RTGS supports payments for corporate actions involving entitlement acceptances as well as payments for bilateral demand settlement instructions (addressed in tranche 1 rule amendments).

ASX received a total of 11 submissions from a range of stakeholders including participants, registries, payment providers, an industry body and an approved listing market operator.

On 24 September 2020, ASX released its response to consultation feedback received on the tranche 2 draft rule amendments. The response to consultation feedback contains:

- a summary of the feedback received in stakeholder submissions;
- ASX's response to such feedback; and
- the draft rule changes made to the ASX Settlement Operating Rules and Procedures, which take into account feedback received.

Public Consultation on Tranche 3 and consolidated rules package

The **third** tranche of operating rule amendments as well as a **consolidated rules package** across all the rule amendments for the new system was released for public consultation on 31 August 2021. The content in tranche 3 relates to netting, settlement, reporting and miscellaneous amendments for Day 1 CHESS replacement system functionality, including as revised to reflect changes to netting and settlement workflows as consulted on in 2021. As part of the miscellaneous amendments, they also include transitional rules addressing migration aspects for the cutover to the new system.

The consultation paper invites feedback from users and other stakeholders on the operation of the draft tranche 3 rule amendments, including any unintended consequences, as well as the combined package of rule amendments.

Written submissions are requested by Tuesday 14 December 2021.

ASX will provide its response to consultation in early June 2022, ahead of formal lodgement of the combined rules package with ASIC in early September 2022 (subject to regulatory clearance).

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Customer Frequently Asked Questions

We have established the CHESS Replacement mailbox and CSP Support mailbox as a means of addressing any project related or functional questions. We have highlighted below the most recent questions of interest.

Functionality & Specifications

With regards to mFunds, can we still send both an application request message (mfnd_401) and investor data details message (acct_012) at the same time, or do we have to wait for the mfnd_401 message response before we send the acct_012 message?

If the participant was to send an application request (mfnd_401) and investor details (acct_012) together we cannot guarantee in which order they will be processed by the CSP. Should the investor details (acct_012) be processed before the application request (mfnd_401), then the investor details (acct_012) will be rejected by the system.

To guarantee that valid investor details (acct_012) related to an initial application are accepted by the CSP, it is advisable to transmit the investor details (acct_012) message once the application request (mfnd_401) has been transmitted and the CSP has acknowledged the receipt of it.

mFund specifications are provided in ASX's documentation portal.

If a Novated Rescheduled Instruction (NRI) is consistently failing, why would a buyer request a 'PARTIAL' isolation quantity. Could you please provide the business rationale to this functionality?

It's always the buyer (receiving broker) who would submit an Isolate Request for the number of units it wants to Isolate (it may not be for the full value of the Novated Rescheduled Instruction (NRI) because there may be more than one client buying but only one client is seeking to Isolate).

Once isolated, the participant on the other side failing to deliver is identified and a link is established. The original NRI is marked down by the value of the isolation and the will be available for further isolation. The resulting Isolated NRI is no longer available for further isolation. An NRI is available to be isolated until its completely isolated or delivered and if it keeps on failing it may be in the buyer's interest to isolate to discover who the sellers are that are failing to deliver.

You can read more details here in ASX's documentation portal.

Can you please confirm the process for a Deceased Estate in relation to a Joint Holder, when unsafe-only unsafe-one Holder is deceased and there is a surviving Holder involved?

From a Rule perspective it is not mandatory for the Participant to lock a Deceased Joint account, if there is a surviving Holder. The Controlling Participant must, within 1 business day, establish a new Account (HIN) in the surviving Holder's name. The Participant transfers the relevant holdings to the new one surviving holder account (HIN). The Participant can then cancel the old, deceased Joint Holders account (HIN) once all Holdings have been transferred out.

You can read more details are provided here in ASX's documentation portal.

If a Participant wishes to update and change a number of combinations of Holder details (ie: add middle name, change salutation and change surname) can these updates all be made within unsafe-one single account modification request?

Participants can modify multiple attributes of a Holder Name and associated details within a single Account Modification Request.

You can read more details here in ASX's documentation portal.

Is it correct that for a scenario where an account with a single holder has initiated a holder lock for bankruptcy that, when the response is received, that the account status and holder status are BOTH "Locked"?

The scenario is correct. The response received will show BOTH account status and holder status as 'Locked'.

You can read more details here in ASX's documentation portal.

Where are details on how the Account locking and unlocking process will work?

The functional process and specification for Account and Holder Locking and Unlocking are published in our Technical Documentation portal.

Plus we have some additional information here - FAQs - Account Locking & Unlocking.

Is there a simple guide how the old EIS message formats map to the new ISO standards?

As part of our ISO 20022 Messaging technical specifications that have been published, ASX has provided a useful cross reference page to help users relate from EIS to the new standard.

Please see the following page - ISO 20022 Messaging - TM - EIS to ISO 20022 Cross Reference Guide.

Connectivity - ISO message signing

Which access channels require ISO message signing?

Customers wishing to access the CHESS Replacement system via AMQP will be required to use ISO message signing for production. During the CDE development phase customers can opt-in to use ISO message signing.

Further details can be found in the Technical Documentation Connectivity - Message Connectivity pages.

When will ISO message signing be available?

ISO message signing will be available from CDE 6 (from Tuesday 3 March 2020) and customers can 'opt in' to use it within CDE. Release notes will be published to accompany CDE 6. To opt-in to ISO Messaging signing in CDE, click here to send an email to the ASX CTS team.

Connectivity

Do software vendors, and CHESS Users more broadly, need to have CHESS Browser connectivity?

CHESS Users don't need to have access via the new CHESS Browser; it is an optional connectivity channel that replaces CHESS PC software.

Product Issuer Settlement Participants (PISPs) are heavy users of CHESS PC and ASX anticipates this cohort to use the browser. Another potential cohort is an organisation that wants to use the browser as a supplementary connectivity channel for low volume corner cases.

When will ASX publish documentation on the ASX Customer Identity Access Management system?

All access channels will be authenticated by ASX, for AMQP users this will be via ISO 20022 message signing and for Ledger API users via Token Authentication. ASX will provide details of Token Authentication in the June publication to the Technical Documentation portal.

Ledger API - click for details

What is a DAML Party?

CHESS Users are represented as a DAML party in the system. A party is identified in the system by its unique DAML Party Identifier. To connect to the CSP via the Ledger API, CHESS Users undergo a formal on-boarding process which grants them one or more DAML Party Identifier(s) and permits them to access a master ingress contract.

For further details on Ledger API connectivity refer to the CHESS Replacement Technical Documentation - Connectivity.

What is a Master Ingress Contract?

The master ingress contract is a non-consuming DAML contract that allows CHESS Users to issue a command to the CSP to start the associated workflow.

Each DAML party in the system is permissioned to execute specific commands and business workflows as set out in the party's master ingress contract. Each command, is a combination of choice with a parameter, which when exercised, sends an instruction to the CSP. A party can initiate a workflow by exercising a choice on the master ingress contract, which triggers a piece of code, representing a workflow, and results in one or more contracts being created or archived on the ledger.

For further information refer to Identify the Master Ingress Contract.

For further details on Ledger API connectivity refer to the CHESS Replacement Technical Documentation - Connectivity.

How do I view exercised events committed to the Ledger?

When developing a Ledger API client application, events can be viewed using the getTransactionClient.getTransactionsTrees() method.

This will produce not just the committed event but the entire transaction in a tree structure. The Transaction Tree structure contains exercised choices, contracts created, and scenarios run among other events. For further information and a full description of all the attributes visible on a transaction tree, refer to the DAML SDK.

For further details on Ledger API connectivity refer to the CHESS Replacement Technical Documentation - Connectivity.

Implementation & Transition

Is a software vendor developing a solution to support CHESS Replacement required to undergo separate Technical Accreditation tests for each clearing and settlement participant client?

A software vendor only needs to accredit software once, so long as the same version of software is used by multiple clients.

Details on Technical Accreditation can be found in our Technical Documentation portal.

Will message content be verified by ASX as part of technical accreditation or will this form part of operational readiness?

Yes, message content will be verified as a part of the messaging component of the Technical Accreditation activity.

Details on Messaging Accreditation can be found in our Technical Documentation portal.

When will test packs and test scripts be available?

The first release of message test scenarios for technical accreditation was made available from April 2020. The first release will be on Account Management. Additional message test scenarios will be progressively released in tranches.

Details on Messaging Accreditation can be found in our Technical Documentation portal.

Further Implementation & Transition questions - click for details

Questions relating to the approach to transition, cutover and accreditation will be published in our Technical Documentation portal under Frequently Asked Questions. We will continue to highlight any common questions in our regular newsletter.

Many other questions about CHESS Replacement can be found at the following links:

- General CHESS Replacement questions
- Technical Documentation FAQs

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Upcoming Activities

Date	Activity
31 August 2021	Consultation on the tranche 3 rule amendments commences (for 15 weeks consultation period)
15 September 2021	Software Provider Readiness working group
29 September 2021	Implementation & Transition working group
Mid to late September 2021	CDE 10 - to include netting and settlement changes, plus remaining Corporate Action functionality
End September 2021	System access pricing for clearing and settlement participants, PISPs, payment providers and share registries
Q3 2021	Pricing model published for electronic CHESS holding statements
End November 2021	Publication of Accreditation Guide
End November 2021	ITE1 open and system testing commences
December 2021	Target go-live for electronic CHESS holding statements

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Useful weblinks

Useful weblinks

ASX CHESS Replacement website	https://www2.asx.com.au/markets/clearing-and-settlement-services/chess-replacement
ASX CHESS Replacement communications (including past newsletters)	https://www2.asx.com.au/markets/clearing-and-settlement-services/chess-replacement/chess-replacement-resources/stakeholder-communications
ASX CHESS Replacement resources	https://www2.asx.com.au/markets/clearing-and-settlement-services/chess-replacement/chess-replacement-resources
ASX CHESS Replacement engagement forums	https://www2.asx.com.au/markets/clearing-and-settlement-services/chess-replacement/stakeholder-engagement/engagement-forums
CHESS Replacement: Confirmed changes to netting and settlement workflow - Response to consultation feedback	https://www2.asx.com.au/content/dam/asx/markets/clearing-and-settlement-services/chess-replacement-response-to-consultation-feedback-confirmed-changes-to-netting-and-settlement-workflow.pdf
Industry Test Strategy Information paper	https://www2.asx.com.au/content/dam/asx/markets/clearing-and-settlement-services/chess-replacement-industry-test-strategy.pdf
Consultation Paper on the proposed changes to netting and settlement workflow	https://www2.asx.com.au/content/dam/asx/participants/clearing-and-settlement/chess-replacement/stakeholder-communications/asx-chess-replacement-project-consultation-paper-proposed-changes-to-netting-and-settlement-workflow.pdf
Information Paper on data governance for CHESS and CHESS replacement system	https://www2.asx.com.au/content/dam/asx/markets/clearing-and-settlement-services/information-paper-asx-data-governance-under-chess-and-chess-replacement.pdf
Consultation Paper on the proposed Listing Rule Changes: online forms, notification of security issues and corporate action timetables	https://www2.asx.com.au/content/dam/asx/about/regulations/public-consultations/2020/2020-stp-consultation-paper.pdf
Consultation Paper on the CHESS Replacement Revised Implementation Timetable	http://www2.asx.com.au/content/dam/asx/markets/clearing-and-settlement-services/chess-replacement-consultation-paper-revised-implementation-timetable.pdf
ASX response to consultation feedback: CHESS Replacement Confirmed Implementation Timetable	http://www2.asx.com.au/content/dam/asx/documents/unlinked-docs/chess-replacement-project-response-to-consultation-revised-implementation-timeline.pdf
CHESS Replacement - Tranche 3 Rule Amendments, together with the combined package of rule amendments across the three tranches	Consultation Paper - August 2021
CHESS Replacement - Tranche 2 Rule Amendments	Consultation Paper - February 2020 Response to Tranche 2 Rule Amendments Consultation Paper - Sept 2020
CHESS Replacement - Tranche 1 Rule Amendments	Consultation Paper - November 2019 Response to Tranche 1 Rule Amendments Consultation Paper - May 2020
ASX CHESS Replacement System Access Pricing	Pricing Letter - September 2019

Toronto Centre Podcast: Introducing the Newest Technology to Capital Markets: The Industry's Perspective	Podcast - July 2019
ASX CHESS Replacement Technical Documentation:	https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/overview
Electronic delivery of CHESS holding statements and notifications - technical and process factsheet	Market notice - 31 August 2021
CHESS Replacement fact sheets:	Fact sheet - for Participants Fact sheet - for Issuers Fact sheet - for Payment Providers
Digital Asset – DAML (including requesting the SDK):	https://daml.com/
ASX Response to consultation feedback:	https://www.asx.com.au/documents/public-consultations/response-to-chess-replacement-consultation-feedback.pdf
ASX 2018 Consultation Paper:	https://www.asx.com.au/documents/public-consultations/chess-replacement-new-scope-and-implementation-plan.pdf
Recent ASX Webinars:	https://www.asx.com.au/services/webinar-archive.htm

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