



Software Provider Readiness Working Group

Questions from working group members | 17 November 2021

The following table provides ASX's response to relevant questions asked by Software Provider Readiness working group members during the session held on 17 November 2021. Please email chessreplacement@asx.com.au if you have any additional questions or require further clarification.

Topic	Question	Answer
ITE1 Update	When is the ITE kick off date?	The ITE1 environment is targeting an open date of end November 2021. It will initially open to allow Software providers to on-board, followed by system testing and technical accreditation (end April'22 to mid-July'22).
ITE1 Update	Will CDE be running until go-live?	ASX always intended to decommission CDE allowing for timing to transition customers into ITE1 and ITE2 respectively.
ITE1 Update	Once ITE1 is open, is it correct that there won't be any further code deployment into CDE?	Yes, that is correct. There are currently no planned releases beyond CDE10 for the CDE environments.
ITE1 Update	If CDE will stop in February, will test tools end before then?	Test tooling in CDE will remain in place until the CDE environment is decommissioned. The same tools will be carried forward in ITE1, unless they've been superseded or decommissioned (as called out in the working group).
ITE1 Update	When do you think CSAM will be available?	This is likely to be Q1 2022, following the summer 'black out period'. We do encourage people to commence the ITE1 on-boarding process using the proposed manual process.
ITE1 Update	End of day reporting, how is this going to be scheduled – on demand vs automated reporting? Are we going to set the size of pages smaller so we can test performance?	EOD unsolicited reports will be set up automatically in ITE1, irrelevant of movement on the day. We are looking to implement the 32K page size (and be production like) for pagination, but additional information on this will be provided.

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ITE1 Test Kit & Test Tools Overview	When do you expect performance tools to be made available?	ASX are developing two new tools to support performance testing, the trade ingest and holding adjustment self-serve tool. These will be available in the later part of Q1 2022.
ITE1 Test Kit & Test Tools Overview	Once the ITE environment has been refreshed, can we retain the accumulation & settlement accounts for each Settlement & Clearing participant?	*Correction from what was discussed during the working group. The Accumulation and Settlement Entrepot Accounts will not be re-seeded upon refresh for C&S Participants. Clearing and Settlement Participants will need to set this up each time the environment is refreshed. Only Payment Providers and AMOs will have the Settlement Entrepot account re-seeded with the accounts hydrated with securities when the environment is refreshed.
ITE1 Test Kit & Test Tools Overview	Will the auto-responders be retained?	Yes, auto-responders available from CDE10 will be retained and extended in functionality in some cases. However, please note some self-serve tools have been decommissioned and/or superseded (e.g. Broadcast notification is no longer available in ITE1), instead ASX will initiate these broadcasts on a periodic basis.
ITE1 Test Kit & Test Tools Overview	Will everyone receive all test kits?	No, there are four test kit types (AMO, Issuer, Participant and Registry) and Software Providers will only receive kits based on what has been requested in their ITE1 Application form. The specific test kit type used will impact what you're testing, what actors (UIC) are available and how the test tools behave.
ITE1 Test Kit & Test Tools Overview	Regarding daily margin settlement amount, does that mean a deficit requirement won't be accommodated?	The daily margin settlement tool is being uplifted to support the end of day (UEDA) notification type; and will also include deficit requirements. This uplift will only be available post ITE1 open in a subsequent patch.

Topic	Question	Answer
ITE1 Test Kit & Test Tools Overview	Related to provision of self-service trade ingest tool. The ITE version of this tool is different, what changes are there?	Functionally there is no change at all. The only difference is volumes greater than >50 records might not be supported.
ITE1 Test Kit & Test Tools Overview	We have to 'schedule performance testing' with ASX before running these tests, why is that?	<p>ASX is requesting software providers to schedule their performance testing so that we can ensure project resources are available to provide adequate support for this activity.</p> <p>ASX will be focused on the phased on-boarding of software providers into ITE1 through to February. Therefore, we will support software providers performance testing scheduled through CTS after this time.</p>
ITE1 Test Kit & Test Tools Overview	How is CHESS UI different to Trade Ingest tool?	<p>CHESS UI will not let you create trades. The Trade ingest tool was designed for this specific function. Self-service tools will provide bulk capability (up to 100k trades), but broadly organisations will need to look at what is available and see how it fits with your testing strategy when deciding when to use the CHESS UI and Test tools.</p>

Topic	Question	Answer
ITE1 Test Kit & Test Tools Overview	If receiving test kit, is it possible to get both test kits for Controlling Participant & also Registry?	We recommend that it is best to get familiar with the test kits – e.g. for Issuers, as a Participant, to know if you can play the counterparty role as part of your testing.
ITE1 Test Kit & Test Tools Overview	Regards to CHES UI, is it something we request in the test kit?	This is to be requested on the ITE1 Application form and then provided to Enterprise Administrator (EA) and they will be given access to create your own internal users.
ITE1 Test Kit & Test Tools Overview	Limitation of records in Self-Service tools, the increase to 100,000 records is it only trades?	There are no functional changes to the trade ingest and holding adjustment self-serve tools for ITE1. However, there will now be two versions of the tool - 1) a non-performant tool that supports up to 50 records / rows, per what's in CDE today; 2) a new performant tool that will be made available in ITE1 in a subsequent release that supports up to 100k records / rows.