



Software Provider Readiness Working Group

Questions from working group members | 19 January 2022

The following table provides ASX's response to relevant questions asked by Software Provider Readiness working group members during the session held on 19 January 2022. Please email chessreplacement@asx.com.au if you have any additional questions or require further clarification.

| Topic | Question | Answer |
|-------|--|---|
| ITE | How do the ITE 1 updates relate to big fixes ASX discovers or are notified of? What's the turnaround approach to fixing and communicating these? | ASX are adopting the same model as CDE, which is to schedule any changes or defects in a subsequent scheduled release. We aim to avoid ad-hoc releases for anything other than critical defects. So moving forward for ITE1 we will have releases v1.2 (end of Feb) and then v1.3 which will likely be a couple of months later but no date on this has been published yet. There is a cost to regression testing and releasing so where practical we aim to minimise these. |
| ITE | In terms of turnaround time for issues and bugs and noting that WFH is a challenging environment, timing is approximately a week for issues being raised. Will this be improved as we go deeper into ITE1 and ITE2? | <p>ASX use bilaterals with organisations to troubleshoot and assist.</p> <p>We are undergoing a major on-boarding process for ITE1, which is the priority and therefore there may be a slower turnaround of some cases.</p> <p>The complexity of an issue drives the turnaround time and some issues are unique and only raised once so it's hard to provide any SLAs.</p> <p>We do expect turnaround time to continue to improve and there is additional tooling in ITE1 to support this, for example the CHESS UI.</p> <p>ITE1 is also not a production environment and therefore support queries are very different in nature.</p> <p>There is a large amount of invisible work going on to resolve matters and obviously, the goal is to turnaround any issues or queries in a timely manner.</p> |

| Topic | Question | Answer |
|-------------------------|--|---|
| CSAM | We connected to ITE1 through a process that did not involve CSAM creation of certificate requests. Is CSAM now available? Or is there a time set that CSAM will become the appropriate way to retrieve certificates for ITE1? | <p>CSAM is very much in scope but is yet to be externally deployed. CSAM is not part of the CHES Replacement project, it is an ASX enterprise deliverable. We initial aimed to deploy at the end of last year however, we hit a change control period where that was not possible. It is our intent to deploy prior to ITE2 to ensure that everybody has an opportunity to test internally.</p> <p>No confirmed date but we will provide an update at this or an alternate forum. For clarity CSAM was used to issue certificates for ITE1 but it was ASX staff on behalf of software providers who managed this process as CSAM is internally (but not externally) available.</p> |
| TLS Certificates | Is the TLS Certificate also going to be updated as part of ITE1 (v1.2)? | No, ASX will only be updating the certificate we use to sign ISO messages. This is to replace the current certificate that is currently the same as CDE. |
| Ledger API | ISO messages are signed and secured through certificates, are there any controls in place for ledger API production of messages are they internally signed and secured? | <p>We issue a ledger API signing certificate to ledger API customers and right now that has one purpose, the purpose being that in order to use Ledger API you need to first acquire a token and use that signing key to sign your ledger API user ID and present that to the ASX security system and that will issue you your authentication token after authenticating. We then check every time you submit a message to the ledger that you pass in that token and we check as that goes through the firewall that it matches the IP address where you originally acquired it from. This is what is there now on top of TLS, there is a roadmap capability which we don't plan to have for go live but maybe in the future. The ledger API could support the concept of command signing.</p> <p>When that becomes available in the Ledger API it will then be possible to just configure your ledger API connection as a part for you connection configuration to point to a key store. That would point to the same ledger API signing certificate that you are currently being issued and that would sign the commands in a similar way that they are for ISO.</p> |
| Ledger API | With the Ledger API do we need to reconnect to the Ledger after a token expires? | You do not have to reconnect to ledger API, every time you submit a command you pass in the token. If your token is running low, you don't have to wait until the last second, you can go get a new one you do not have to reconnect. |



| Topic | Question | Answer |
|----------------------------------|--|--|
| ISO 20022 message signing | Our security team has highlighted an issue with saving the device which does not allow us to use two factor authentication. Is there a mechanism to force the two factor authentication every time we log on? | ASX will review this but for the moment two factor authentication is only required when a user logs in for the first time and that's to register their device. |
| Data Remediation | Do you have any feedback with how the market is going with the cleansing process noting it is meant to be completed by end of February? | As we understand it this is going well however we will provide a broader market update in the Implementation and Transition working group as it's managed by a different team outside of today's team. |