

March 2019 - Documentation Release Notes

Table of Contents

- [Document Release 2](#)
 - [Functional Specifications](#)
 - [Functional Specifications \(Special Notes\)](#)
 - [Messaging](#)
 - [ISO 20022 Messages in Scope for CDE Drop 2](#)
 - [FIX Messages in Scope for CDE Drop 2](#)

Document Release 2

These release notes detail the scope of the second tranche of technical documentation, released in March 2019 (Document Release 2).

It includes further functional specifications, messaging requirements and updates to some areas of functionality from the prior release. Full details are provided below. Updates to previously published functionality or corrections will be identified in orange on relevant pages.

A full archive of content prior to this Document Release 2 is available [here](#) for reference.

Functional Specifications

Function	Description	Release Notes
Payment Facilities (NEW)	A facility operated for a Settlement Participant at a Payments Provider for the purposes of paying and receiving payment in Batch Settlement.	Document Release 2 and CDE Drop 2 includes end-to-end workflow for this transaction type.
Market Trade (Trade Capture, Trade Registration, Novation) (NEW)	The notification and processing of Market Trades in preparation for Delivery versus Payment (DvP) settlement via the Clearing and Settlement Platform (CSP).	Document Release 2 and CDE Drop 2 includes end-to-end workflow for this transaction type with the exception of transaction features dependent on corporate actions, including Basis of Movement validation, Basis of Movement Matching and Override Basis of Movement, which will follow in a subsequent release.
Holding Transfers (UPDATES)	Unilateral Demand Transfer Process	<ol style="list-style-type: none"> 1. Changed message references from full stop to underscore: E.g.: "hold.202" to "hold_202". 2. Notifications: inserted message number reference to Notification table sub-heading content: "(hold_202)".
	Bilateral Demand Transfer Process	<ol style="list-style-type: none"> 1. Changed BPMN clock icon content from "End of Settlement Date" to "End of Day". 2. Changed message references from full stop to underscore. 3. Notifications: inserted message number references to Notification table sub-heading content: (hold_207), (hold_208), and (hold_202). 4. Bilateral Demand Transfer Notifications section: removed "Bilateral" in "Demand Transfer Status Advice", "Demand Transfer Allegement Notification", and "Demand Transfer Confirmation". 5. Process workflow table, Step 10: added information macro, "Housekeeping workflow to follow in a subsequent release".
	Bilateral Demand Transfer Cancellation Process	<ol style="list-style-type: none"> 1. Changed message references from full stop to underscore. 2. Notifications: inserted message number references to Notification table sub-heading content: "hold_210" and "hold_215".
	Unilateral Settlement Instruction Process	<ol style="list-style-type: none"> 1. Changed message references from full stop to underscore. 2. Notifications: inserted message number reference to Notification table sub-heading content: "sett_106". 3. Settlement Instruction Notification table: changed from "Conditionality" to "Condition".

ASX Documentation

	<p>Unilateral Settlement Instruction Cancellation Process</p>	<ol style="list-style-type: none"> 1. Removed "s", thus changed page title from "Unilateral Settlement Instructions Cancellation Process" to Unilateral Settlement Instruction Cancellation Process". 2. Changed message references from full stop to underscore. 3. Notifications: Inserted message number reference to Notification table sub-heading content: "sett_108".
	<p>Bilateral Settlement Instruction Process</p>	<ol style="list-style-type: none"> 1. Changed BPMN clock icon content from "End of Settlement Date" to "Settlement Cut-Off". 2. Changed message references from full stop to underscore. 3. Process workflow table, Step 10 - NEW information macro: "Housekeeping workflow to follow in a subsequent release". 4. Notifications: inserted message number reference to Notification table sub-heading content: (sett_109), (sett_106), (sett_110), and (sett_106). 5. Notifications - Settlement Instruction Response (Matched): changed ISO Message Element Name from "Transaction Identification" to "Account Servicer Transaction Identification".
	<p>Bilateral Settlement Instruction Cancellation Process</p>	<ol style="list-style-type: none"> 1. Changed message references from full stop to underscore. 2. Process workflow table, Step 10 - NEW information macro: "Housekeeping workflow to follow in a subsequent release". 3. Notifications: inserted message number references to Notification table sub-heading content: (sett_108), (sett_122), (sett_109), and (sett_118). 4. Notifications: "Unmatched" removed from "Settlement Instruction Allegement Notification Cancellation". 5. Notifications: Matched Settlement Instruction Cancellation Notifications - Order of two tables reversed to align with process flow: "Matched - Settlement Instruction Cancellation Status Advice" followed by "Matched - Settlement Instruction Status Advice". 6. Notifications: Matched - Settlement Instruction Cancellation Status Advice - NEW Content, three rows: "Cancellation Request Reference", "Counterparty Transaction ID", and "Obligation ID".
	<p>Bilateral Settlement Instruction Cancellation Withdrawal Process</p>	<ol style="list-style-type: none"> 1. Changed message references from full stop to underscore. 2. Notifications: inserted message number references to Notification table sub-heading content: (sett_112) and (sett_123).
	<p>Bilateral Settlement Instruction Update Process</p>	<ol style="list-style-type: none"> 1. Changed message references from full stop to underscore. 2. Settlement Instruction Update Notifications, table heading: "Bilateral" removed from "Settlement Instruction Update Status Advice". 3. Settlement Instruction Update Notifications table content: changed content from, "A notification" to, "A Settlement Instruction Update Status Advice (sett_114)".
	<p>Bilateral Demand Settlement Instruction Process</p>	<ol style="list-style-type: none"> 1. Change message references from full stop to underscore. 2. Notifications: inserted message number reference to Notification table sub-heading content: (sett_109), (sett_110), (sett_106) and (sett_119). 3. Notifications: Demand Settlement Confirmation, sub-heading content: removed "Bilateral" from "Demand Settlement Confirmation".
	<p>Bilateral Demand Settlement Instruction Cancellation Process</p>	<ol style="list-style-type: none"> 1. Changed message references from full stop to underscore. 2. Settlement Instruction Cancellation Notifications, Settlement Instruction Cancellation Confirmation: NEW content - "A Settlement Instruction Cancellation Confirmation (sett_108) is sent to the Sender Participant". 3. Settlement Instruction Cancellation Notifications, Settlement Instruction Allegement Notification Cancellation: NEW content - "A Settlement Instruction Allegement Notification Cancellation (sett.122) is sent to the Counterparty".

Functional Specifications (Special Notes)

ASX Documentation

Function	Description	Release Notes
Accounts	The ability to create holders and Accounts. The ability to modify holder and Account details.	<p>Following a number of working groups with stakeholders, ASX has undertaken a review of the Account opening process. Considerations include message numbers, sequencing and workflows.</p> <p>ASX wishes to advise vendors and Participants of the high probability that there will be updates to the messages and associated workflows. Any changes to the Account opening process will be provided in a subsequent update.</p> <p>Consequently, ASX will populate the CDE with appropriate data to facilitate testing.</p>

Messaging

Document	Description	Release Notes
FIX Specification (NEW)	The ASX provides the capability for AMOs to report trades via the Financial Information Exchange Protocol (FIX). The FIX Specification covers message rules, connectivity options and reporting requirements.	This is the first technical documentation release of the FIX Specification.
FIX Message Catalogue (NEW)	The Catalogue of Messages explains how to create financial messages to communicate with the ASX using the Financial Information Exchange Protocol (FIX).	<p>This is the first technical documentation release of the FIX Message Catalogue.</p> <p>New: Messages</p> <p>New messages have been added to the Message Catalogue.</p>
ISO 20022 Technical Manual (UPDATE)	Describes the structure and conventions of an ISO 20022 message. This document covers the business message collections, business message attributes, the business application header, elements, naming conventions, formats and tags. The ISO 20022 Cross Reference Guide, the ASX Proprietary Code List and ASX Error Code List are also included.	<p>Updated: ASX Proprietary Code List</p> <p>The following code lists have been added:</p> <ul style="list-style-type: none"> • 6 BasisOfQuotationCode_ASX_1 • 18 TradeReasonCode_ASX_1 • 10 ConditionCodes_ASX_1 <p>Updated: Message validation and ISO 20022 Error Code List</p> <p>The following error code has been added:</p> <p>Reason Code: 1120 Description: Action is not allowed on Account 'Element Data <Element Value>'</p> <p>Updated: EIS to ISO 20022 Cross Reference Guide</p> <p>New messages have been added.</p>
ISO 20022 Usage Guidelines (UPDATE)	Usage Guidelines (or schemas for each message) will be accessible from the SWIFT MyStandards	<p>New: Collections for CDE2</p> <p>New collections have been added for CDE2.</p>

web platform. Each guideline provides field definitions that include meanings, allowable data values, message samples and schemas.

- **ASX_AU_CHS_rel2_sett** Technical Version 1.
- **ASX_AU_CHS_rel2_hold** Technical Version 1.
- **ASX_AU_CHS_rel2_acct** Technical Version 1.
- **ASX_AU_CHS_rel2_comm** Technical Version 1.

Updated: Collections for CDE1

The following collections have been updated.

- **ASX_AU_CHS_sett** Technical Version 6 **ASX_AU_CHS_rel1_sett** Technical Version 7.
- **ASX_AU_CHS_hold** Technical Version 9 **ASX_AU_CHS_rel1_hold** Technical Version 10.
- **ASX_AU_CHS_acct** Technical Version 3 **ASX_AU_CHS_rel1_acct** Technical Version 4.
- **ASX_AU_CHS_comm** Technical Version 3 **ASX_AU_CHS_rel1_comm** Technical Version 4.

[Usage Guidelines](#)

[Technical Versions](#)

Version	Name	Def
v.6 <i>Imported</i>	ASX_AU_CHS_sett	Rel By:

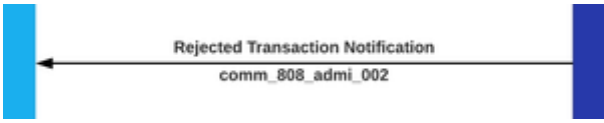
Updated: Settlement Instruction Request (sett_105_sese_023)

This message has been updated.

- The data type definition of the Trade Transaction Condition has changed from OverrideBasisOfMovementCode_ASX_1 to BasisOfMovementCode_ASX_1.
- Its version number has changed from 4 to 5.
"sett_105_04_sese_023_001_07" "sett_105_05_sese_023_001_07"

Updated: Message Descriptions

The following Message Descriptions have been updated to align with Functional Specifications.

		<ul style="list-style-type: none"> • sett_105_001_05_sese_023_001_07 • sett_106_001_04_sese_024_001_08 • sett_107_001_02_sese_020_001_05 • sett_108_001_02_sese_027_001_05 • sett_109_001_02_sese_024_001_08 • sett_110_001_02_sese_028_001_06 • sett_111_001_01_sese_020_001_05 • sett_112_001_02_sese_027_001_05 • sett_113_001_02_sese_030_001_07 • sett_114_001_01_sese_031_001_07 • sett_115_001_01_semt_013_001_04 • sett_116_001_01_semt_015_001_06 • sett_118_001_02_sese_027_001_05 • sett_119_001_02_sese_025_001_07 • sett_122_001_01_semt_020_001_05 • sett_123_001_01_semt_020_001_05 • hold_201_001_03_sese_023_001_07 • hold_202_001_03_sese_025_001_07 • hold_205_001_01_semt_015_001_06 • hold_206_001_02_DRAFT7reda.021.001.01 • hold_207_001_02_sese_024_001_08 • hold_208_001_01_sese_028_001_06 • hold_209_001_01_sese_020_001_05 • hold_210_001_01_sese_027_001_05 • hold_215_001_01_semt_020_001_05 • comm_801_001_01_head_001_001_01 • comm_807_001_01_admi_002_001_01 • comm_808_001_01_admi_002_001_01
<p>ISO 20022 Message Catalogue (UPDATE)</p>	<p>Explains how to create financial messages to communicate with ASX. It covers new messaging standards, message scope, message purpose, message flows (UML diagrams), sender and receiver details and any message pre-requisites. Covers the functions released in the Functional Specifications.</p>	<p>Updated: Message Descriptions</p> <p>Message Descriptions (listed above) have been updated to align with Functional Specifications.</p> <p>Updated: Bilateral Demand Settlement Instruction UML Diagram</p> <p>The Bilateral Demand Settlement Instruction UML diagram has been updated to include the housekeeping of sett_105 'Settlement Instruction Request'.</p> <p>Updated: UML Diagrams</p> <p>All UML diagrams have been reformatted.</p> <p>Message flows now specify the Message Name (above) and Message ID/ISO 20022 base message (below).</p> <p>For example,</p>  <pre> sequenceDiagram participant A as [] participant B as [] B->>A: Rejected Transaction Notification comm_808_admi_002 </pre> <p>All naming aligns with the ISO 20022 Usage Guidelines on MyStandards.</p> <p>New: Messages</p> <p>New messages have been added to the Message Catalogue.</p>

ASX Documentation

ISO 20022 SWIFT MyStandards User Guide (UPDATE)	<p>Guide to assist users to access the SWIFT MyStandards web platform and the CHESS replacement suite of usage guidelines. The guide will also provide information on how to access the associated readiness portal for sample message testing.</p>	<p>Updated: Renaming ASX Usage Guidelines files</p> <p>Instructions have been updated.</p>
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ISO 20022 Messages in Scope for CDE Drop 2

Business Message Collection	Message
Account Management	<ul style="list-style-type: none"> • Payment Facility Details Report
Settlement	<ul style="list-style-type: none"> • Trade Confirmation Notification • Trade Cancellation Notification

FIX Messages in Scope for CDE Drop 2

Business Message Collection	Message
Trade Capture	<ul style="list-style-type: none"> • Trade Capture Report AE • Trade Capture Report AR Ack

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