# **Program Newsletter**

CHESS Replacement homepage



## **CHESS Replacement Project Update**

#### April 2021

Many of you will have received an email from me on 14 April providing an update on consultation feedback ASX received to the proposed changes to netting and settlement workflow. In this email I noted that while there was broad acceptance that post-trade processing should not constrain trading activity levels, many respondents requested ASX to reconsider some design proposals to reduce operational and delivery risk for the market. We are carefully considering all feedback, which we are very grateful for, and will now take the time to finalise the solution design. This is expected to reduce the development and testing effort and lower overall operational impacts. A revised date for publishing the updated messaging requirements and functional specifications will be provided to you in mid-May 2021.

Other recent project developments include an update to our customer development environment (CDE) on 19 April, which brought forward the mFund features that were previously targeted to be released in CDE10 at the end of June 2021. This release delivered all substantive mFund features and provides additional development time for software providers. This now largely completes the delivery of all the original day 1 scope into CDE, excluding any changes for netting and settlement redesign.

At the end of March 2021, we released the Registration Details tool for the purpose of converting account registration details from the current CHESS EIS format to align to the ISO 20022 messaging standards. The tool will also help identify any accounts that need to be remediated before they can be migrated. In addition, our Operations team will soon be reaching out to participants to plan for any required data remediation throughout the rest of this year.

Additional details on the registration details tool, data remediation, customer engagement, the latest Implementation & Transition working group and detailed project updates can be found by clicking on the 'Find out more' button.

For any enquires related to the CHESS Replacement project, please continue to direct them to CHESSReplacement@asx.com.au.



Tim Hogben

Group Executive
Equity Post Trade and CHESS Replacement

## **Engagement Activities**



## **Documentation Spotlight**

This section provides a spotlight on the information presented in the ASX CHESS Replacement documentation portal. This month highlights the content relating to the new CHESS UI browser user guide.

## Read more >



# **Customer Development Environment Updates**

Our latest code drop (CDE 9.5 mFunds) was released on 19 April and work continues on remaining system development. ASX will continue to publish remaining features to CDE for development and testing.

## 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 the most recent questions of interest.

Read more >



# Implementation & Transition Working Group

ASX hosted the most recent implementation & transition working group (I&T WG) on 31 March. The date of the next working group – an update on consultation feedback – will be provided in due course.

## Read more >



## **Corporate Actions STP**

The Corporate Actions STP Phase 2 project is on track for its third and final release in June 2021.

## Read more >

## **Technical Documentation**







Release notes



Forward release plan

## Where to next?



**Upcoming activities** 



**Useful weblinks** 

Contact us:

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 the content relating to the new CHESS UI browser user guide.

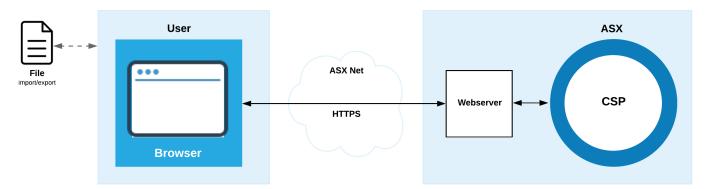
#### CHESS UI user guide

With the introduction of the CHESS replacement system users can select the connectivity option, or options, that best meet their specific requirements. These options will include the ability to retain a messaging paradigm similar to today, or migrate towards a Ledger API integration which additionally provides access to state on the Ledger. A browser based CHESS User Interface (UI) option will also be provided primarily aimed at low volume users or as a supplement to users' primary connectivity option.

The new, browser-based solution aims to service low volume users and provide ad-hoc messaging capability not supported by the user's core system. The CHESS User Interface (UI) is a secure user interface that uses the ledger API to provide access to the CHESS replacement system (CSP). CHESS UI-based connectivity is secured by multi-factor authentication, and all transactions will require a four eyes authorisation workflow. It allows the:

- Manual entry of messages in an ISO 20022 format
- · Organisation self-service user administration
- · Role-based permissions
- Ability to upload and download ad-hoc ISO 20022 XML formatted message files.

The access of the CHESS UI will be limited to ASX Net (including IPSEC) and will not be available over the public internet.



#### **CHESS UI features**

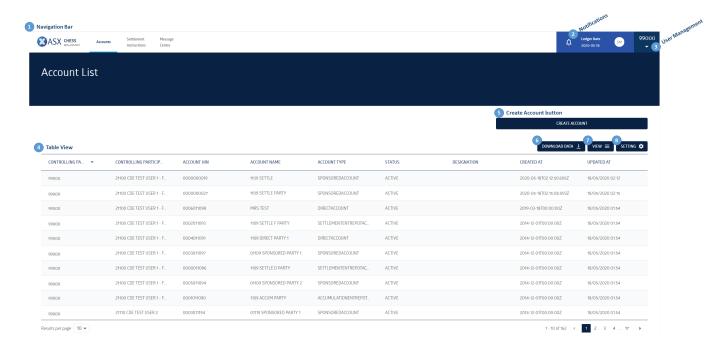
The CHESS UI has the following features and functionality available to the specified CHESS UI users, that will be introduced with the Industry Testing phase of the project (from ITE 1):

- · Accounts:
  - Create, modify, lock and cancel Accounts and Holders
  - · Query current state of Account Holders, holdings and sub-positions
  - · Query historical holding movements and Account updates
- Settlement instructions:
  - · Query scheduled Settlement instructions

- · Payments:
  - View and manage outstanding Batch Settlement and RTGS payment obligations
- mFund:
  - Submit mFund application and redemption orders
  - · Query and action outstanding mFund application and redemption orders
- · Message Centre:
  - Submit all CSP message types (low volumes)
  - · Query historical ingress and egress messages across all connectivity channels to CSP
  - Submit a CSV upload for limited CSP messages
- Workflow:
  - · 'Four eyes' apprval workflow
- User Management:
  - User on-boarding and registration
  - · Secure logging in
  - · Ability to switch between multiple UIC profiles
  - · Create and manage user accounts.

Many of the above features have already been published in our CHESS UI user guide in our Documentation portal. Refer to our published list of CHESS UI features here for details of when specific functionality will become available and links to the published documentation.

Below is an example CHESS UI screen:



## **CHESS UI recorded demonstrations**

The I&T WG webinar on 29 July 2020 provided a demonstration of CHESS User Interface functionality that had been developed at this time. A recording of this webinar is available here, with the accompanying materials available here as another resource.

#### Coming next

Remaining features and associated user guide pages will be published in subsequent documentation release later in 2021. The CHESS UI will be available first for those connecting to ITE1.

If you want to know more about CHESS UI please get in touch with us by emailing CHESSReplacement@asx.com.au.

#### Additional published documentation

The following additional information was also published since our last newsletter update in February 2021:

- March 2021 Documentation Release Notes:
  - · Functional specifications, including:
    - Proposed changes to netting and settlement workflow

This page pertains to the proposed netting and settlement workflow design changes. These proposed changes are subject to consultation feedback provided from the focus groups, consultation paper responses and any further feedback to be provided from the Technical Committee, all of which needs careful consideration. Further supporting documentation, including the creation of Message Collection 10 will be made available in a subsequent release.

- Cutover and migration ASX Registration Details tool, which included details of the exceptions that the tool would identify and remediation steps relating to registration details
- Updated Forward Release Plan for CDE code drops updating the timetable for the Account Notification Report (ACNT)
- · Other minor documentation updates.

#### Coming up

Further documentation and accreditation details will continue to be published in 2021 as part of the CHESS replacement project. A list of upcoming project activities can be read here.

#### **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

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## Implementation & Transition Working Group



## Implementation & Transition Working Group

ASX has hosted the most recent implementation & transition working group (I&T WG) on 31 March 2021.

#### I&T WG - March2021

ASX hosted the most recent implementation & transition working group (I&T WG) on 31 March, which focused on the **Registration Details tool** and **data remediation**.

Members were first provided with a summary of the business drivers and proposed use of the Registration Details tool that was previously presented in the August 2020 working group meeting. The key features of the Registration Details tool were also outlined and include providing for conversions from CHESS EIS format to ISO field attributes, as well as identifying non-compliant registration details. Members were then shown a demonstration of how to run the tool, it looked at an input file with sample registration detail records, a summary report and output file with the registration details in the new format, including how it can be exported into excel, and concluded by looking at exceptions.

The working group then looked at data remediation and activities for cleaning up current CHESS registration details to remediate exceptions prior to cutover to the new system. While the Registration Details tool can be used to obtain a list of exceptions, ASX Operations will also be providing this information directly to each participant.

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

The recording for the 31 March webinar, presentation materials and Q&A can be found here.

## Coming up

The date of the next implementation & transition working group – an update on consultation feedback – will be provided in due course. 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 planning your implementation.

## **CHESS Changes:**

• If you are planning any migrations or other significant changes to your 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**



## **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 are 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 latest code drop (CDE 9.5 mFunds) was released on 19 April and work continues on remaining system development. Please continue to refer to our Forward Release Plan for future CDE code drops. With CDE 9.5 (mFunds) this now largely completes the delivery of all the original day 1 scope into CDE, excluding any changes for netting and settlement redesign. As has been mentioned in the introduction of this newsletter, ASX will provide a revised timetable for publishing the updated messaging requirements and functional specifications relating to this redesign in mid-May 2021.

#### CDE Release 9.5 (mFunds)

On **19 April 2021** ASX released the mFund functionality to CDE ahead of the previously published release date with CDE 10 (end June 2021). This release delivered all substantive mFund features for application and redemption, and provides additional development time for software providers, release notes and supporting documentation were also published along with the code on 16 April 2021.

This release included:

- mFund functionality:
  - · Application workflows
  - · Redemptions workflows
- · New demand reports:
  - Holding Net Movement (HMVT) (without Guaranteed Foreign Indicator); and
  - Cum Entitlement Net Movement (CEMV)
- New self-service test tool:
  - mFund Application and Redemption Auto-responder available to CDE Subscribers.

## **Remaining Features in CDE**

ASX will continue to provide updates to our Forward Release Plan on our Technical Documentation portal for final capabilities to be introduced to the customer development environment.

#### **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.
- ASX may refresh the CDE environment periodically, ASX will always notify the CDE Subscribers prior to any environment refresh
- Details of how to request access to the CDE are available in our Technical Documentation portal.

A list of upcoming project activites can be read here.

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## Corporate Actions STP

#### Corporate Actions Straight Through Processing (STP) Phase 2 project

The STP project team is working towards delivery of the third and final release for the project in June 2021. The release will include:

- The availability of one additional ISO 20022 corporate action event OTHR, typically used for Reinvestment Offers to be supported by CHESS Replacement. This completes the full suite of corporate action events in scope for this service, available via SWIFT or FTP for subscribers. The same notifications will be consumed by CHESS Replacement.
- A number of enhancements to existing online forms (and equivalent word forms) used by issuers to announce certain corporate action
  events
- The introduction of 4 new online forms (and equivalent word forms) for use by issuers the Appendix 2A (Application for quotation of securities), Appendix 3G (Notification of issue, conversion or payment up of unquoted equity securities), Appendix 3C (Notification of buyback, a single form with workflow replacing the existing 4 word form Appendices - 3C, 3D, 3E, 3F), and Appendix 3H (Notification of cessation of securities).
- Introduction of additional straight through processing of event information (where appropriate), from the issuer announcement through to ASX reference products including the ISO 20022 real time corporate actions notification service.

A number of the enhancements included in the release are tied to associated ASX Listing Rule and Appendix changes that will become effective at the same time, subject to regulatory approval.

More information on the project is available on the ASX website here.

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## **Customer Frequently Asked Questions**



## **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.

Some other frequently asked questions recently raised on development and testing in CDE have been included in this month's February Documen tation Spotlight section.

## 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 Freq uently Asked Questions. We will continue to highlight any common questions in our regular newsletter.

#### 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.

#### **Functionality & Specifications**

■ 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 & Unclocking.

✓ 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. Releas e 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.

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

- General CHESS Replacement questions
- Technical Documentation FAQs

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## Rule Amendment & Public Consultation Timeline



## Rule Amendment & Public Consultation Timeline

#### **Market Consultation**

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 will commence in August 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 are being delivered prior to Day 1 through ASX business as usual (BAU) processes or the Corporate Actions STP Phase 2 Project. The timeline shows both completed and upcoming processes.

#### **Rule Amendment and Public Consultation Timeline**

ASX has been engaging with regulators in relation to the rules and other relevant regulatory aspects that need to be addressed to support any new or changed services and functionality for the new system, including our consultation process on the rule amendments involving three tranches of amendments.

The **first** tranche of operating rule amendments was released for <u>public consultation</u> 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.

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' implementation of 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.

On 28 October 2020, as part of its response to consultation feedback on the CHESS Replacement Revised Implementation Timetable, ASX announced an amended timeline for a further and final round of consultation on the rule amendments for the new system.

Consultation on the **third** tranche of operating rule amendments as well as a **consolidated rules package** across all the rule amendments for the new system will commence in early August 2021, with a 15 week consultation period concluding in mid-November 2021. ASX will provide its response to consultation in mid May 2022, ahead of formal lodgement of the combined rules package with ASIC in late August 2022. This revised timing for consultation on the rules is to accommodate the changes connected with the redesign of the NBO process (as set out in section 2 of

ASX's 28 October 2020 response to consultation) and associated rules changes. This includes for operating rules addressed in earlier tranches and rules to be addressed in tranche 3.

ASX also announced changes to release 1.1 functionality on 28 October 2020 (with some functionality to now be delivered as part of Day 1 golive and other features to be part of a future release (the timing for which is yet to be determined)). As a result, the rules supporting:

- Electronic DRP and BSP elections, DRP and BSP enquiry and non-batch DvP bilateral settlement are to be retained in the rules package to be consulted on in August 2021. It is proposed that these rules will become effective at the time of Day 1 go-live of the new system, in the same way as for other functionality being delivered on Day 1
- Electronic acceptance and payment for entitlement offers are to be removed from the rules package and revised timing for these rules will be considered following Day 1.

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## **Upcoming Activities**



## **Upcoming Activities**

Date	Activity
Mid-May 2021	A revised date to be provided for publishing the updated messaging requirements and functional specifications related to proposed netting and settlement changes.
End June 2021	Information paper on industry test strategy.
Q3 2021	Announcement on pricing for Day 1 clearing & settlement services.
Q3 2021	Pricing model published for electronic CHESS holding statements.
Oct 2021	Target go-live for electronic CHESS holding statements.

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## Useful weblinks



## Useful weblinks

ASX CHESS Replacement website

ASX CHESS Replacement communications (including past newsletters)

ASX CHESS Replacement resources

ASX CHESS Replacement engagement forums

Consultation Paper on the proposed changes to netting and settlement workflow

Information Paper on data governance for CHESS and CHESS replacement system

Consultation Paper on the proposed Listing Rule Changes: online forms, notification of security issues and corporate action timetables

Consultation Paper on the CHESS Replacement Revised Implementation Timetable

ASX response to consultation feedback: CHESS Replacement Confirmed Implementation Timetable

CHESS Replacement - Tranche 2 Rule Amendments

CHESS Replacement - Tranche 1 Rule Amendments

ASX CHESS Replacement System Access Pricing

Toronto Centre Podcast: Introducing the Newest Technology to Capital Markets: The Industry's Perspective

https://www2.asx.com.au/markets/clearing-and-settlement-services /chess-replacement

https://www2.asx.com.au/markets/clearing-and-settlement-services /chess-replacement/chess-replacement-resources/stakeholdercommunications

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https://www2.asx.com.au/content/dam/asx/markets/clearing-andsettlement-services/information-paper-asx-data-governance-underchess-and-chess-replacement.pdf

https://www2.asx.com.au/content/dam/asx/about/regulations/publicconsultations/2020/2020-stp-consultation-paper.pdf

http://www2.asx.com.au/content/dam/asx/markets/clearing-andsettlement-services/chess-replacement-consultation-paper-revisedimplementation-timetable.pdf

http://www2.asx.com.au/content/dam/asx/documents/unlinked-docs /chess-replacement-project-response-to-consultation-revisedimplementation-timeline.pdf

Consultation Paper - February 2020

Response to Tranche 2 Rule Amendments Consultation Paper -Sept 2020

Consultation Paper - November 2019

Response to Tranche 1 Rule Amendments Consultation Paper - May 2020

Pricing Letter - September 2019

Podcast - July 2019

ASX Technical Documentation:

https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/overview

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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