

NTP Go-Live Information Pack Version 1.1 | March 2017

INFORMATION CLASSIFICATION - CONFIDENTIAL



Table of Contents

1. Introduction	3
1.1. Purpose and Audience.....	3
1.2. Go-live Plan.....	4
1.2.1. Saturday 18 March 2017	4
1.2.2. Sunday 19 March 2017	5
1.2.3. Monday 20 March 2017	5
1.3. Go-Live Preparation.....	6
1.4. Document History.....	7
1.5. Enquiries	7
2. Go-Live Schedule.....	8
3. Implementation Connectivity Window Conclusion.....	9
4. Rollback Event.....	9
5. ASX Trade24 decommission	10
6. ASX Support Plan.....	10



1. Introduction

ASX will go-live with the ASX 24 derivatives platform NTP on Monday 20 March 2017.

In the lead up to go-live ASX will lock down the production environment on Thursday 16th March which means all user connections will be logged out of the system and no further user logon (Terminal, FIX or Market Data) will be permitted until Saturday 18th March.

On Saturday 18 March there will be a Participant connectivity window to validate the Participant installation. Connectivity testing during this session is mandatory for all ASX 24 application logins.

On NTP go-live, all Participant order books will be empty. ASX will not be migrating Good To Cancel (GTC) orders from the existing ASX Trade24 platform across to NTP. Customers are asked to ensure they delete all their own orders prior to the end of the Friday night session March 17, alternately customers can change the order to a limit order in the Friday night session without losing queue positions. Limit orders will be system purged on the close. Any remaining orders will be deleted by ASX staff market close on the morning of Saturday 18 March. In event of a rollback to ASX Trade24 the Monday markets will open with empty order books.



Note

The ASX Trade24 platform will NOT be available on Monday, 20 March 2017, unless a formal NO GO decision is made and a rollback is initiated.

1.1. Purpose and Audience

This document is relevant to operational and technical staff within ASX 24 Trading and Market Information Participants that will connect directly to NTP, and to ASX Clear (Futures) Participants.

It describes the key requirements and expectations for successful completion of the NTP go-live and outlines the expected schedule.



1.2.Go-live Plan

1.2.1. Saturday 18 March 2017

1. To 07:00:
 - a. ASX 24 is market available on ASX Trade24 and contracts close on their normal Saturday schedule
 - b. Trading Participants to cancel any remaining open orders, or alternately change GTC orders to Limit orders which means they will purge on the CLOSE. Changing order type will NOT affect the orders queue position.



Note

ASX will delete all remaining orders at 07:15am on Saturday 18 March 2017 from ASX Trade24. All Participant order books will be empty on Monday 20 March 2017, whether ASX proceeds with NTP or makes a call to roll back to ASX Trade24.

2. 10:15 to 16:00 – connectivity window. ASX 24 Participants must logon on to NTP:
 - a. Participants are required to logon all their different applications to ensure base connectivity
 - b. There will be no orders or trades within the system
 - c. The Markets will be in a CLOSED state
 - d. The trade date will be Monday 20 March 2017.
 - e. Any change to a Participant's configuration during this window e.g. password change or account / limits will be rolled back after the test and need to be re-applied on Sunday after 20:00.

Connection Type	Available Functions
FIX Order Entry	<ul style="list-style-type: none">• Logon available• Placed orders will be rejected due to market state being Closed
FIX Drop Copy	<ul style="list-style-type: none">• Logon available
FIX Market Data	<ul style="list-style-type: none">• Logon available• Market State Download• Futures Contract Parameter Download



ASX MDP	<ul style="list-style-type: none"> • MDP users will receive multicast heartbeats • Glance users can request the Futures Symbol Directory • Blink users can request segments of the Futures Symbol Directory
ASX Terminal	<ul style="list-style-type: none"> • Logon available • Order entry will be rejected due to market state being CLOSED.
ASX Risk Terminal	<ul style="list-style-type: none"> • Logon available • User and account maintenance will be available

3. At 16:00 – ASX will close the connectivity window and all users will be disconnected.
4. At 18:00 – ASX will publish the “GO / NO-GO” decision via Market Notice and updates on the [NTP Website](#).



Note

ASX has a significant amount of change occurring in parallel to the customer test and as a result cannot make an earlier decision.

Customers are encouraged to make their changes to NTP and test connectivity at the earliest possible point on Saturday and provide signoff confirmation to the ASX.

1.2.2. Sunday 19 March 2017

1. From 20:00 - ASX 24 Trading and Market Information Participants can logon to NTP.

1.2.3. Monday 20 March 2017

1. From 02:30 - ASX Clear (Futures) Participants can logon to the Genium Clearing system. Friday night session trades for business date Monday 20 March can be downloaded and cleared.
2. From 06:20 – ASX 24 market schedules commence on NTP as per normal (NZFOE contracts OPEN).





Notes for ASX Clear (Futures) Participants

Friday night session trades which occurred on ASX Trade24 for Monday 20 March will have the ASX Trade24 OrderID. All Trades that execute on NTP will have the NTP OrderID format.

The 10 minute delay of Trades between ASX Trade24 and Genium Clearing will be removed as of Monday 20 March 2017.

1.3. Go-Live Preparation

The following items should be confirmed prior to go-live. Failure to do so may result in the customer being unable to connect on the Monday go-live day.

Requirement/Action	Yes/No
Connectivity to the NTP Production Environment (Refer to the NTP Document Library for technical and connectivity specifications)	
Applications have passed ASX conformance testing	
Confirmation of the correct login details for each user	
Logged in to the NTP Production environment with the ASX Trading Terminal application (ATT)	
Confirm your go-live participation via email to cts@asx.com.au , nominating: <ul style="list-style-type: none">• Minimum of 1 operational/technical testing contact• Minimum of 1 escalation contact	



1.4. Document History

Issue	Date	Description
1.0	1 st March 2017	First release of document.
1.1	8 th March 2017	Removed Sat 20:00 to Sun 18:00 tasks as these are no longer applicable.

1.5. Enquiries

- Customer Technical Support: cts@asx.com.au | +612 9227 0372 | 1800 663 053
- ASX Trading Operations: tradingoperations@asx.com.au | +612 9256 0677 | 1300 655 560
- For escalations, contact your ASX Technical Account Manager.



2. Go-Live Schedule

ASX has established a real-time [information status page](#) to provide updates during the go-live weekend. Customers should bookmark this page to observe live updates as ASX progresses through the schedule.

Date	Activity	ASX	ASX 24 Participants	Clear (Futures) Participants
Saturday to 07:00	Standard ASX Trade24 processing	✓	✓	
07:00	ASX 24 Market Close	✓	✓	
By 07:05	Participants delete their GTC orders in ASX 24		✓	
07:15	ASX delete all remaining GTC orders in ASX 24		✓	
By 10:15	Configure applications to connect to NTP		✓	
10:15	Connectivity window - NTP available for logon <ul style="list-style-type: none"> • Business date will be Saturday, 18th March 2017 • FIX OE, FIX MD, FIX DC, ASX MDP, and ASX Terminal should be connected • Participants will see contracts in CLOSED 	✓	✓	
16:00	ASX disconnects users from NTP	✓		
18:00	ASX publishes “Go/No Go” decision	✓		
Sunday 20:00	NTP will be available for logon ready for Monday 20 March 2017		✓	
Mon 02:30	Genium Clearing logon available for ASX Clear (Futures) Participants. Friday night trades for			✓



Date	Activity	ASX	ASX 24 Participants	Clear (Futures) Participants
	Monday 20 March 2017 trading date are available for download			
Mon 06:20	Derivatives trade through ASX Trade24. NZFOE first products open	✓	✓	

3. Implementation Connectivity Window Conclusion

Each ASX 24 Participant is required to confirm their completion of the Implementation Connectivity Window and advise any issues to cts@asx.com.au by 16:00 on Saturday, 18 March 2017.

4. Rollback Event

In the event that ASX determines it is the markets best interest to not proceed with NTP, ASX will publish a “NO GO” decision notice and communicate directly to the registered go-live Participant contacts. ASX will commence the communications as soon as this decision is made. ASX has scheduled the “GO” decision for 18:00 on Saturday 18 March 2017.

Customers are also encouraged to monitor the [NTP Live web page](#) for all updates.

In the event of a rollback decision (“NO GO”), ASX 24 Participants will need to connect to ASX Trade24 ready for Monday 20 March 2017. This process should be in line with what was rehearsed on the completion of each NTP Implementation Rehearsal weekend testing to be ready for Monday trading.

On Sunday 19 March 2017 an ASX 24 Participant connectivity window to ASX Trade24 would be provided between 08:00 and 12:00. ASX 24 Participants must account for this potential scenario in their resource planning.

Please note that in the event of a rollback, all Participant order books will be empty on ASX Trade24 on Monday 20 March 2017.



5. ASX Trade24 decommission

The plan for the removal of ASX Trade24 equipment from Participant sites or ALC cabinets will be communicated separately.

6. ASX Support Plan

Activity	Support Type	Contact	Support Start	Support End
Implementation Connectivity Window	Technical	Customer Technical Support cts@asx.com.au +612 9227 0372 / 1800 663 053	Saturday 18 March 09:00	Saturday 18 March 16:00
Go/No-Go Confirmation	Technical	Customer Technical Support	Saturday 18 March 18:00	Saturday 18 March 20:00
Rollback Connectivity Window (only in event of a communicated rollback)	Technical	Customer Technical Support	Sunday 19 March 08:00	Sunday 19 March 12:00
Go-Live Support	Technical	Customer Technical Support	Sunday 19 March 23:00	Saturday 25 March 07:30
Go-Live Support	Operational Technical	Trading Operations Tradingoperations@asx.com.au +612 9256 0677 Customer Technical Support	Monday 20 March 05:00	Saturday 25 March 07:30



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