



ASX ReferencePoint ISO 20022 Intra-Day Corporate Actions

SWIFT Readiness Guide

Version 1.4
22 September 2014

1 Document purpose

ASX has launched a new ISO 20022 feed for Corporate Actions, delivered over SWIFTNet. Members who choose to take this feed need to ensure that they integrate the messaging with their back office payments systems, as well as correctly provision their organisation on SWIFTNet and their SWIFT interface(s).

This document provides a set of tasks that each participant need to consider, and in most cases, implement in order to be able to start receiving the 'InterAct' ISO 20022 messages across the SWIFT network. These steps are applicable in the Test and Production environments.

2 Subscribing to the ASX service on SWIFTNet

SWIFT and the ASX have worked together to define the SWIFT parameters for the service. Based on the requirements, SWIFT have set up two services on the SWIFT network, one for Test and one for Live. These Services act as Closed User Groups (CUGs) so that only participants of the ASX ISO 20022 ReferencePoint Corporate Action feed can receive messages from the ASX.

2.1 ASX Test ('Pilot') Service

The following table shows the details of the test service for ASX as it has been setup on SWIFTNet.

Service level parameters	
Business Service Name:	ASX ReferencePoint Corporate Actions (Test)
Technical Service Name:	xasx.ca.sf!p
Operational Environments:	Pilot User
Billing:	Reversed (Members pay for all messaging)
Billing model:	per instruction
Use RBAC?	Yes (role name = 'Corp_act')
Append RBAC role to message header?	No
Request level parameters	
Request name	seev.031.002.04 (ISO20022 CorporateActionNotificationV04) seev.039.002.04 (ISO20022 CorporateActionCancellationAdviceV04)
Messaging Service	InterAct
Mode	Store-and-Forward
Use Non-Repudiation?	Yes
Is Non-Repudiation mandatory or optional?	Optional
Direction	Administrator to Participant

2.2 ASX Production Service

The following table shows the details of the production service for ASX as it has been setup on SWIFTNet.

Service level parameters	
Business Service Name:	ASX ReferencePoint Corporate Actions (Live)
Technical Service Name:	xasx.ca.sf
Operational Environments:	Live User
Billing:	Reversed (Members pay for all messaging)
Billing model:	per instruction

Use RBAC?	Yes (role name = 'Corp_act')
Append RBAC role to message header?	No
Request level parameters	
Request name	seev.031.002.04 (ISO20022 CorporateActionNotificationV04) seev.039.002.04 (ISO20022 CorporateActionCancellationAdviceV04)
Messaging Service	InterAct
Mode	Store-and-Forward
Use Non-Repudiation?	Yes
Is Non-Repudiation mandatory or optional?	Optional
Direction	Administrator to Participant

Since this is a Store and forward service, the correspondent will get the message from their own SnF queue designated for this service.

However if they want to know the sender then they have to refer to the DN not the BIC.

BIC is used only in FIN where as for fileact and interact messages it will be using DN as the sender.

2.3 Subscribing to the service(s)

Before you can receive messages within the ASX SWIFTNet service, you will need to subscribe to the service on swift.com. This will need to be done by someone within your organisation who has access to SWIFT online services. The following are the steps for subscribing to the service:

1. Go to www.swift.com
2. Hover over 'Ordering' and select 'Order Products and Services'
3. Under the letter 'M' select 'Market Infrastructure, become member of'
4. Scroll down until you see 'ASX ReferencePoint Corporate Actions' and select the Test or Live service (you will need to subscribe separately to both)
5. At this point you will need to input your email and password.
6. The form for the ASX service will then be displayed.
7. Verify that your default Customer Information is correct.
8. Under 'Order Information', enter an Order Reference (this can be anything).
9. Under 'Institution that your order for', select the BIC that is to be subscribed into the ASX service.
10. Under 'Preferred implementation date', select a date for activation on SWIFTNet. This is the date from which you will be able to receive messages within this service / CUG. Note: the earliest date is always the weekend after the next (i.e. less than 2 weeks).
11. Under 'SWIFTNet Closed User Group Information', you will need to define the Distinguished Name (DN) that is used as your address on SWIFTNet. When the ASX sends you a message, they will use this address to send you the message. The form has defaulted your DN to two levels: o=<YourBIC>,o=swift however SWIFT recommend that you expand to a 3rd level, such as: ou=corpact,o=<YourBIC>,o=swift

If you agree with the above suggestion, then add the 'ou=corpact,' to the front of the DN on the form within the 'SWIFTNet Address' field.
12. 'CUG Category' should remain as 'participant'.

13. The 'Traffic Routing for Store and Forward Service' is an important section as it defines the central routing rules for delivery of messages to you. There are default routing rules and queue names, however SWIFT recommend that you make these specific to this service.

To do this, click on the 'Advanced' button.

Routing will be based on Requestor DN, Responder DN, Request Type and Rule Order and based on this information, messages will be routed to a specific 'Full Queue Name'.

The SWIFT recommendation for queue name and routing is as follows:

Rule Order: change from 90 to 50

Full Queue Name: change from default to '<YourBIC>_corpact!p'

Requestor DN: leave this as an asterisk as all messages will be coming from ASX anyhow

Responder DN: should be the DN you entered in step 11.

Request Type: leave this as an asterisk to keep it simple and allow for future message types within this service in the future

14. Delivery Notifications are not required since you will only receive messages within this service, so you can ignore the 'Queue Name' section.
15. At this point you have completed your subscription to the service. Verify what you have entered and click on 'Continue'.
16. Step through the remaining screens and submit your order. You will receive an email confirmation of the order advising you of the activation date.
17. Repeat the process for the Live service, however **drop the '!p'** for the queue name under the traffic routing section.

3 Prepare your SWIFT Infrastructure

Section 2 above relates to provisioning of your organisation on the SWIFT network. The following checklist relates to your SWIFT infrastructure.

3.1 Software

3.1.1 License options (SWIFT Alliance users)

If you plan to use the SOAP, MQ or Automated File transfer adapters for the Alliance Access product, ensure that your Alliance Access has been licensed to use these adapters and if not, place an order for these on www.swift.com.

3.2 Configuration tasks

	Task	Completed Y/N ?
1	Have the required changes been made to your Alliance Gateway (Message Partner and Endpoint) to route InterAct messages to your SWIFT messaging interface (Alliance Access or other) or middleware?	
2	Have your SWIFT Security Officers setup the PKI certificate that will be used for signing the messages? SWIFT recommend that you have a separate certificate that is used just for ASX messages and that you have a separate certificate for test and live services. Certificates need to be stored on the HSM devices in your organisation.	
3	Have the correct roles been assigned to the PKI certificate? For MX (InterAct) messaging, this Authoriser DN must be given the appropriate role for the SWIFTNet Business service (i.e. the ASX service). You can assign roles from Alliance Gateway or Alliance Web Platform. ('SnFRequestor' role to be assigned for the two (or one) queues that have been setup for the BIC. You also need to assign the 'Corp_act' role which has been defined specifically for the ASX service)	
4	If using Alliance Access, this Authoriser DN from step 2 above must be <u>adopted</u> on a SWIFTNet connection which is then assigned to SWIFTNet reception profile. When the reception profile is assigned to a SWIFTNet connection, the selected Authoriser certificate for that connection is used for the signature of the SWIFTNet envelope.	
5	If using Alliance Access, has the Reception profile been setup and activated? The Reception profile is configured with the queue name that was defined when you subscribed to the service	
6	If using Alliance Access, have you setup Message Partners for communication with your back office systems? Valid communication options are File Transfer, MQ and SOAP.	
7	If using Alliance Access, have you setup Routing Rules for the routing of inbound messages between to the Message Partner?	