



ASX ReferencePoint ISO 20022 Real Time Corporate Actions

SWIFT Readiness Guide

Version 1.5
08 July 2020

1 Document purpose

ASX has introduced an 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 needs 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 that are signed up to the ReferencePoint Corporate Actions ISO 20022 feed can receive messages from the ASX.

2.1 ASX Test ('Pilot') Service

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

<i>Service level parameters</i>	
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)
<i>Billing model:</i>	per instruction
Use RBAC?	Yes (role name = 'Corp_act')
<i>Append RBAC role to message header?</i>	No
<i>Request level parameters</i>	
<i>Request name</i>	seev.031.001.08 (ISO20022 CorporateActionNotificationV08) seev.039.001.08 (ISO20022 CorporateActionCancellationAdviceV08)
<i>Messaging Service</i>	InterAct
<i>Mode</i>	Store-and-Forward
<i>Use Non-Repudiation?</i>	Yes
<i>Is Non-Repudiation mandatory or optional?</i>	Optional
<i>Direction</i>	Administrator to Participant

2.2 ASX Production Service

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

<i>Service level parameters</i>	
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)
<i>Billing model:</i>	per instruction

<i>Use RBAC?</i>	Yes (role name = 'Corp_act')
<i>Append RBAC role to message header?</i>	No
<i>Request level parameters</i>	
<i>Request name</i>	seev.031.001.08 (ISO20022 CorporateActionNotificationV08) seev.039.001.08 (ISO20022 CorporateActionCancellationAdviceV08)
<i>Messaging Service</i>	InterAct
<i>Mode</i>	Store-and-Forward
<i>Use Non-Repudiation?</i>	Yes
<i>Is Non-Repudiation mandatory or optional?</i>	Optional
<i>Direction</i>	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 whereas 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 and ordering. The following are the steps for subscribing to the service:

1. Go to www.swift.com
2. Click on Ordering & Support in the top menu bar.
3. Scroll down the page to the section titled "Ordering" and hit Read more.
4. This lands you on the Overview tab of the section for ordering products and services.
5. Select the Order Products & Services tab.
6. Select Market Infrastructure from the list of services.
7. This lands you on the page of the SWIFT site that the different products available in the Market Infrastructure suite - a Market Infrastructure simply representing a system administered by a public or private entity, that provides services to the financial industry for trading, clearing and settlement, matching of financial transactions, and depository functions.
8. Scroll down this page till you reach the heading ASX OPERATIONS LTD. The ASX ReferencePoint Corporate Actions Live and Test services are listed under this ASX heading. Make your appropriate selection, Live or Test, by hitting Subscribe alongside that option.
9. This will take you to a login page. You will need to create a new swift.com account if you do not already have one.
10. Once you have logged in, a form will be displayed on screen which you will need to fill out and submit to complete this service subscription process. Refer to the following page for an example of this form.



[Print](#) | [Price list](#) | [How e-ordering works](#)

SWIFTNet Service Subscription

ASX OPERATIONS PTY LTD (XASXAU2S) Market Infrastructure : ASX ReferencePoint Corporate Actions (Test)

SWIFTNet service = xasx.ca.sf!p / Test

Enter the requested information.

The orange arrow icon ▶ indicates mandatory fields

Please use this form to manage a subscription to a SWIFTNetService under the conditions of the [SWIFTNetService Description](#)

Registered customer information +			
Consulting Services and Training Option			
Please indicate if you would like to get assistance from SWIFT Training and/or Consulting Services for the implementation of this SWIFTNet service.			
<input type="checkbox"/>	I want to be contacted by SWIFT to further discuss my Training and Consulting Services requirements.		2.01
Order information			
Your own Purchase Order Reference	▶ <input type="text"/>		3.01
Sales partner	▶ <input type="text" value="S.W.I.F.T. SCRL"/>		3.02
SWIFT commercial quotation reference	<input type="text"/>		3.03
SWIFT account manager email address	<input type="text"/>		3.04
Institution that you order for			
BIC	▶ <input type="text" value="please select"/>		4.01
Preferred implementation date			
<p>Implementations always occur during the weekly general maintenance period between Saturday 05:00 GMT and Sunday 05:00 GMT. The earliest possible implementation of an order that is validated by SWIFT as being correct and duly approved by the Service Administrator, is the second weekend following the date of submission. A later weekend can be specified.</p> <p>If you are using Lite2 or Alliance Remote Gateway the implementation date will be aligned with server provisioning (for more information please contact support).</p> <p>In case of first subscription to a SWIFTNet service, the implementation date should occur with the next planned BIC directory publication date.</p>			
Preferred implementation date	▶ <input type="text" value="Saturday May 2 2020"/>		5.01

- Verify that your default Customer Information is correct.
- Under 'Order Information', enter an Order Reference (this can be anything). (Please input your own internal reference value for tracking this order), select sales partner - S.W.I.F.T. SCRL, SWIFT commercial quotation and account manager email address are optional.
- Under 'Institution that your order for', select the BIC that is to be subscribed into the ASX service.
- 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).

15. 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.

16. 'CUG Category' should remain as 'participant'.
17. Following is a recommendation for how customers may wish to configure their queues. 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 asterix 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 asterix to keep it simple and allow for future message types within this service in the future

18. Delivery Notifications are not required since you will only receive messages within this service, so you can ignore the 'Queue Name' section.
19. At this point you have completed your subscription to the service. Verify what you have entered and click on 'Continue'.
20. Step through the remaining screens and submit your order. You will receive an email confirmation of the order advising you of the activation date.
21. 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

For information on how to set up SWIFT infrastructure and software licensing and configuration of SWIFT service, customers are advised to refer to SWIFT Support or their SWIFT Account Manager or in-house SWIFT expert.

Customers should refer to www.swift.com for SWIFT contact details in order to make enquiries directly with SWIFT.