

# **CHESPC EIS Upgrade**

ASX mFund Enhancements  
CHES 10 Release

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## Authored

Name	Role
Satpal Dhillon	CHESSPC Senior Analyst/Programmer

## Document History

Version No.	Date	Author	Description
V1.0	01/06/2018	Satpal Dhillon	CHESS Release 10 requirements included. For a view of CHESS 10 Requirements, please go to: <a href="#">CHESS 10 Project Website</a>

# 1 Acronym Glossary

Acronym	Definition
APG	ASX Settlement Procedure Guidelines
ASX Clear	ASX Clear Pty Ltd
ASX Settlement	ASX Settlement Pty Ltd
CHESS	Clearing House Electronic Sub-System
CRS	Common Reporting Standard
EIS	CHESS External Interface Specification
FATCA	Foreign Account Tax Compliance Act (US)
HIN	Holder Identification Number (CHESS)

## 2 Introduction

### 2.1 Overview

This document outlines the following:

- New or modified CHES data messages
- Procedures to upgrade existing CHESSPC installations with the latest EIS release.

### 2.2 Scope of Release

The scope of mFund enhancements to CHES are:

	Enhancement
1	Restructuring of the Application request to focus this message on application details
2	Introduction of a HIN to HIN transfer function.
3	Introduction of a dedicated Foreign Tax compliance (CRS/FATCA) message to accompany 'Initial Application and Transfer requests, and to act as a stand-alone maintenance message.
4	Introduction of an Investor details message to accompany 'Initial Application and Transfer requests, and to act as a stand-alone maintenance message.
5	Removal of a number of redundant fields from various messages.
6	Inclusion of an optional Unit Price on the Unit Adjustment message.
7	Inclusion of an additional field for Part C NA Annual Income Statements.

### 2.3 Accreditation

CHESSPC has completed certification for the following new and modified messages:

#### 2.3.1 New CHES Messages

- MT735 Foreign Tax Status
- MT736 Foreign Tax Status Details
- MT737 Investor Details
- MT738 Participant Investor Details
- MT740 Cancelled Fund Request
- MT851 CHES to CHES Fund Transfer Request
- MT852 Fund Transfer Response
- MT853 CHES to CHES Fund Transfer Request Details
- MT854 CHES to CHES Fund Transfer Response

## 2.3.2 Modified CHES Messages

- MT718 Issuer Sponsored Fund to CHES Conversion Request
- MT719 Issuer Sponsored Fund to CHES Authorisation Request
- MT720 Accepted Participant Request (EIS *Pre-Requisites* modified)
- MT722 Fund Response (EIS *Pre-Requisites* modified)
- MT726 Application Request
- MT727 Application Order Request
- MT729 Application Order/Payment Plan Application Response
- MT730 Effected Application Order/Payment Plan Application Response
- MT732 Unit Adjustment
- MT733 Effected Fund Unit Adjustment
- MT800 Redemption Request
- MT801 Redemption Order Request
- MT802 Redemption Order Response
- MT803 Effected Redemption Order Request
- MT806 Switch Request
- MT807 Switch Order Request
- MT808 Switch Order Response
- MT809 Effected Switch Order Request
- MT845 Unit Reversal Notification
- MT846 Effected Unit Reversal Notification
- MT957 Registry Income Statement Part A
- MT962 Participant Income Statement Part A
- MT967 Registry Income Statement Part C NA
- MT972 Participant Income Statement Part C NA

## 2.4 Next Steps

The information in this document should be used to upgrade CHESSPC instances in accordance with the CHESS External Test and Production schedules. The exact dates for CHESS External Test Environment and production go-live will be communicated closer to the time.

## 2.5 Contacting ASX – CHESSPC

For any information regarding upgrade of CHESSPC, ASX can be contacted on:

- **Satpal Dhillon** – Senior Analyst Programmer
  - T: 61 2 9227 0121
  - E: [Satpal.Dhillon@asx.com.au](mailto:Satpal.Dhillon@asx.com.au)
- **Elsa Dos Anjos** – Senior Technical Support Analyst
  - T: 61 2 9227 0936
  - E: [Elsa.Dosanjos@asx.com.au](mailto:Elsa.Dosanjos@asx.com.au)
- **Joe Bialkowski** - CSD Settlement Development
  - T: 61 2 9227 0384
  - E: [Joe.Bialkowski@asx.com.au](mailto:Joe.Bialkowski@asx.com.au)

## 3 EIS Upgrade

Full details of new and modified CHESS messages can be found in the following document:

**Business and Technical Overview, mFund Settlement Service Enhancements**  
[CHESS 10 Project Website](#)

### 3.1 CHESSPC – EIS Upgrade Kit

The EIS upgrade kit will contain the following files:

- CPC\_CAT.TXT
- CPC\_ERR.TXT
- CPC\_FLD.TXT
- CPC\_MSG.TXT
- CPC\_VAL.TXT
- EISUpgrade.exe (zipped)
- CPC32.exe

### 3.2 CHESSPC – EIS Upgrade Pre-requisite

ASX recommends that the following steps are completed prior to upgrading your CHESSPC instance:

- Logoff from CHESS.
- Close the CHESSPCapplication.
- Create a backup of the existing CHESSPC installation folder and all database files being upgraded.
- If you have multiple installations of CHESSPC e.g. test and production environment. Ensure all instances of the CHESSPC database files (**CHESSDB.MDB**) are included in your backup.
- Take a backup of CPC32.EXE (should be in the original installation folder)
- Extract all files from the **EISUpgrade.zip** file.



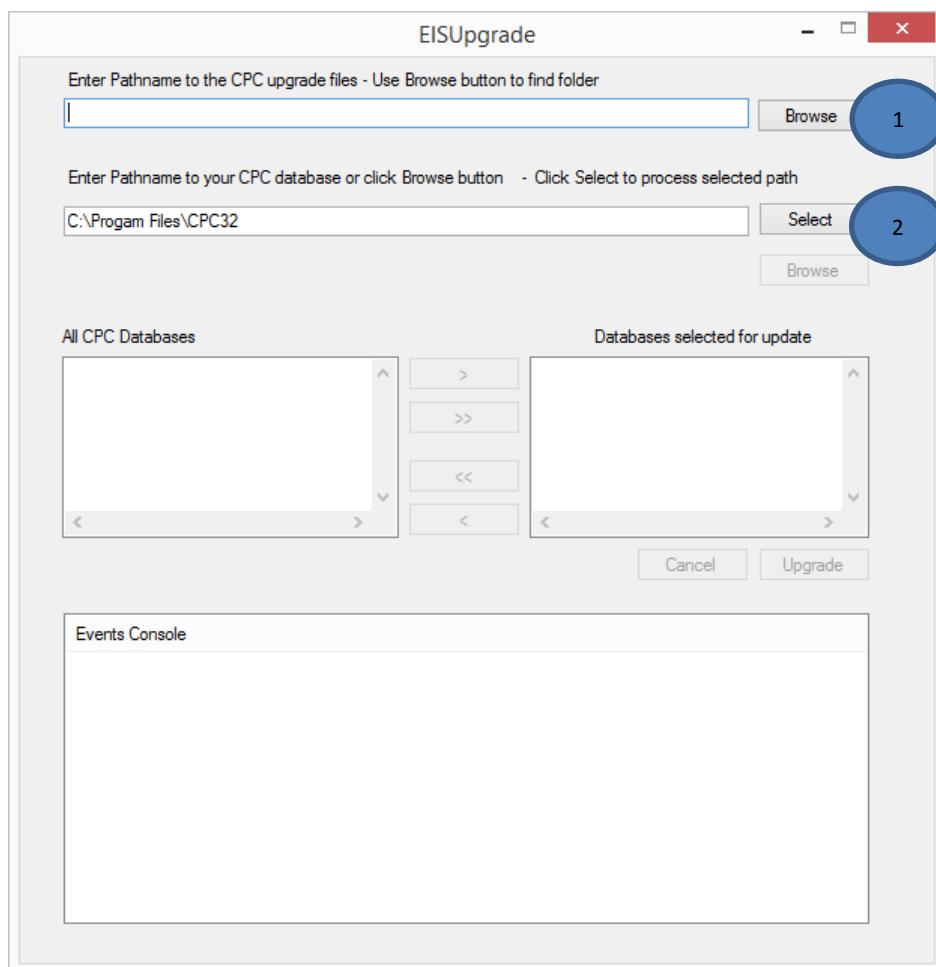
### 3.3 CHESSPC – Upgrade

1. Copy the extracted CPC32.EXE to the CHESS PC installation folder or where the existing executable is run from.

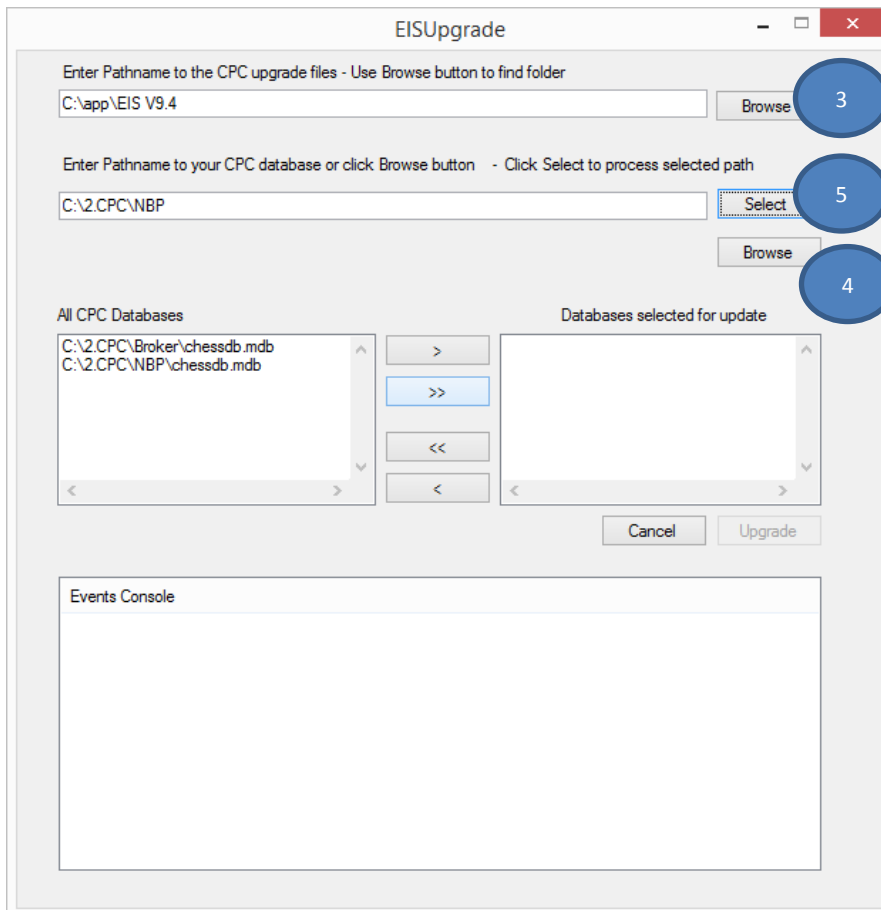
### 3.4 CHESSPC – EIS Upgrade

2. Double click on **EISUpgrade.exe** to run the EIS Upgrade application.

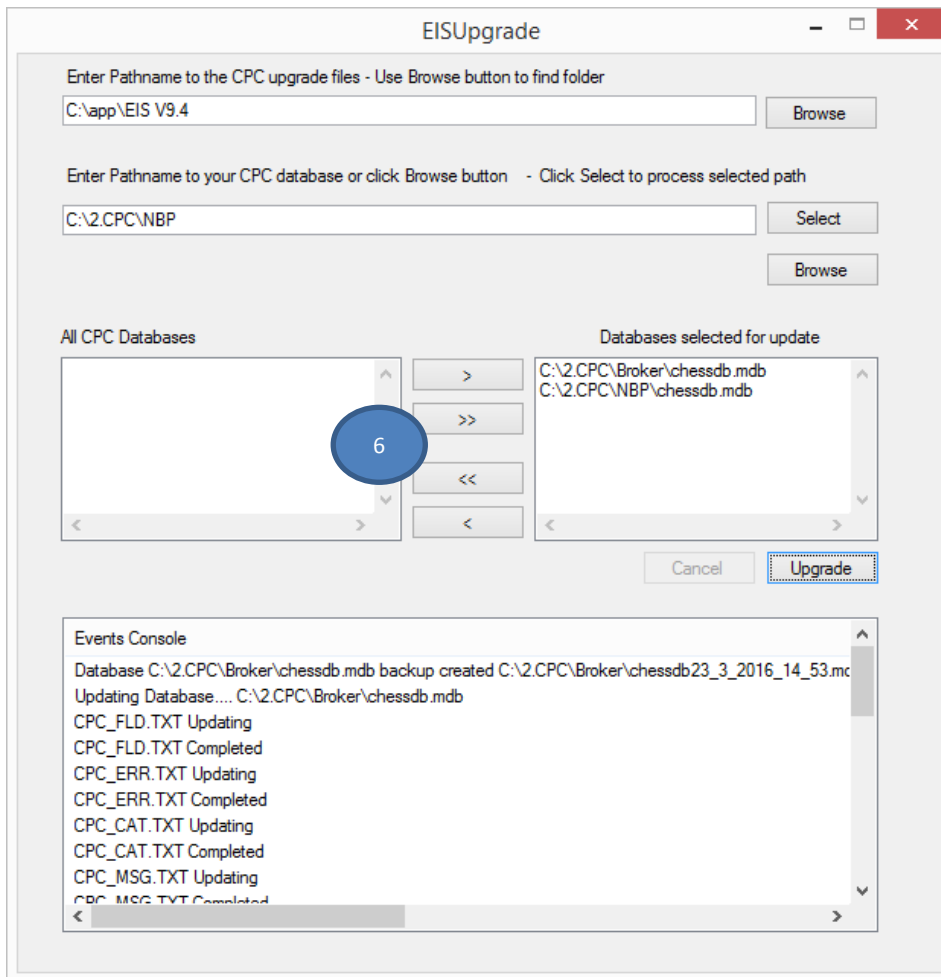
The following window will be displayed:



3. Click on the top BROWSE button to set the Pathname to the location of the text files that were supplied with this upgrade package. (e.g. CPC\_MSG.TXT etc)
4. Click on the second BROWSE button and locate the Pathname to the folder containing your CPC database file (CHESSDB.MDB).
5. Click on the SELECT button next to the file Pathname and a list of database files will be displayed in the box labelled: **All CPC Databases**. This step can be repeated multiple times if you have more than one installation of CPC that needs to be upgraded.



- Using the > or >> buttons, select the databases you wish to upgrade and click on the **UPGRADE** button to execute the procedure.



**NOTE:** When the upgrade process has been completed you will be requested to inspect the **Events Console** window to ensure there were no errors during the process.

In the event that any errors occur during the upgrade, restore your database file from your backup and contact ASX for further help if required.

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