BUSINESS CONTINUITY (BC) SURVEY

APPLICANT NAME:		DATE COMPLETED:	

REFERENCE MATERIAL

Guidance Note 10 *Business Continuity and Disaster Recovery* **(GN10)** is published by ASX to assist participants to understand the business continuity and disaster recovery arrangements they should have in place to meet their obligations under the ASX Operating Rules. Applicants must review GN10 and benchmark their business continuity and disaster recovery arrangements with each key requirement in GN10 prior to submitting the required documents referred to below to ASX for review.

NOMINATED BUSINESS CONTINUITY OFFICER ('NOMINATED OFFICER') Refer to GN10 Key Requirements 4.1

Name:			
Email:			
Title:		Department:	
Telephone:		Telephone: (for BC event)	

PRIMARY CONTACT FOR BUSINESS CONTINUITY (IF DIFFERENT TO NOMINATED OFFICER)

Name:			
Email:			
Title:		Department:	
Telephone:		Telephone: (for BC event)	

REQUIRED DOCUMENTS		
1.	**BUSINESS CONTINUITY PLAN (BCP)**	BCP documentation should address the key requirements in GN10 and specifically cover the business unit and the technology identified in Section A of this business continuity survey. ASX will accept a draft BCP for assessment but the final BCP must be lodged prior to the applicant's admission as a participant.
2.	**INFRASTRUCTURE DIAGRAM**	With reference to GN10 key requirement 4.2, *Infrastructure diagrams*: The infrastructure diagram must depict the applicant's technology and communications infrastructure used to conduct its ASX operations. The diagram must identify the locations of all primary and alternate sites that house the participant's key technology components and personnel involved in its ASX operations and communication links (including the communication provider and details of primary and redundant links) between each of those sites.
		Refer to the sample infrastructure diagram provided in Appendix A for an example of what the infrastructure diagram should include.
		ASX recommends that applicants consult their technical team and the nominated business continuity officer to assist in preparing the infrastructure diagram in accordance with GN10.
3.	**COMPLETED BUSINESS CONTINUITY SURVEY**	A completed version of this survey answering all applicable questions below.
		Alternatively, applicants may provide a verbal response to the questions via a meeting with ASX. Applicants who wish to select this option must indicate their preference in the ASX Participant Application Form.

Note: for those applicants whose BCP and infrastructure arrangements are confidential, ASX can arrange for an on-site inspection in lieu of being provided with the documents above.

Disclaimer

The admission of an applicant as a participant by ASX based on the information provided in or with this form does not constitute an endorsement by ASX of the applicant's business continuity and disaster recovery arrangements and is not to be taken as the expression of an opinion by ASX as to the adequacy or effectiveness of those arrangements. To the extent permitted by law, ASX and its employees, officers and contractors shall not be liable for any loss or damage arising in any way, including by way of negligence, from or in connection with ASX having admitted the applicant as a participant based on the information provided in or with this form.

Privacy Statement

As part of completing this form, the applicant is required to provide personal information about its officers. This information is required to assess whether the applicant meets the requirements for admission as a participant under the relevant Operating Rules. Failure to provide this information is likely to prevent ASX from being able to process the applicant's application for admission.

Information provided with this form may be disclosed to any person where disclosure is permitted by, and made in accordance with, the relevant Operating Rules; is required to comply with any legal, statutory or regulatory requirement; or consented to by the individual in question.

The individual's personal information will be held securely and will be kept only for as long as necessary, as required under the relevant Operating Rules. Individuals are able to access their personal information by contacting ASX Participant Transitions on 1300 735 713 (+61 2 9227 0787 International) or via email to participant.transitions@asx.com.au

ASX may from time to time use external service providers but will not disclose personal information you provide to any other organisations or individuals, unless it is required or authorised by law to do so or unless you consent to the disclosure. ASX does not generally provide personal information to overseas parties.

If relevant individuals would like to contact us or lodge a complaint, please refer them to ASX's Privacy Statement at www.asx.com.au/about/privacy-statement.htm for further details.

By completing and submitting this form the applicant represents and warrants to ASX that it has obtained the relevant individuals' consent to provide their personal information to ASX for the purposes of this form and/or the applicant's participation on ASX, and that those individuals have read, understood and agree to ASX's Privacy Policy.

BUSINESS CONTINUITY SURVEY QUESTIONS

The terms used in this survey have the same meanings as those assigned in GN10. "You" and "your" refers to the applicant named above.

This form does not reproduce the full details of each key requirement in GN10. Applicants are expected to review the full details of each key requirement when completing this form.

SECTION A : BUSINESS CONTINUITY PLAN GN10 Key Requirement 4.5	APPLICANT RESPONSE	ASX USE ONLY
A.1	State the name of the business unit that will be primarily responsible for conducting your intended ASX operations.		
A.2	List the systems that you have identified as being critical to your ASX Clear, Clear (Futures) and Settlement operations. *These systems may include, but are not limited to systems directly interfacing the following ASX systems:* ▪ *CHESS (ASX Settlement General & PISP applicants)* ▪ *DCS (ASX Clear applicants proposing to clear ASX Futures & Options)* ▪ *Genium (ASX Clear ((Futures)) applicants)*		
A.3	Confirm that your BCP specifically covers the business unit and systems identified in A.1 and A.2.	☐ Confirmed	
A.4	Confirm that your BCP is based on a documented business impact analysis covering a full range of potential disruption scenarios relevant to your intended ASX operations.	☐ Confirmed	
A.5	Please indicate the level at which your BCP is approved by (eg Board of Directors, a named board committee, a named management committee or a named individual manager).		
A.6	How frequently will your BCP be reviewed?		
A.7	When was your BCP last formally reviewed?		

SECTION B: RECOVERY TIME OBJECTIVE GN10 Key Requirement 4.6	APPLICANT RESPONSE	ASX USE ONLY
B.1	Indicate which tier you consider you will fall within for the purposes of this Key Requirement. *Refer to section 2 of GN10 for the definition of "Tier 1" and "Tier 2".*	Tier 1 Tier 2	
B.2	What is the expected recovery time objective (**RTO**), following the initiation of your BCP, for you to be able to resume your: (i) critical ASX operations; and (ii) business-as-usual ASX operations (including completion of processing all transactions affected by the disruption)?	(i) Hours for critical ASX operations: (ii) Hours for business-as-usual ASX operations:	
B.3	If your RTO is greater than the time specified, confirm when you will align your RTO with Key Requirement 4.6, and provide details of the changes required to align the RTO.		

SECTION C: CORE PERSONNEL, SYSTEMS RESILIENCE & DATA RECOVERY GN10 Key Requirements 4.1, 4.3, 4.4, 4.5, 4.7 & 4.9	APPLICANT RESPONSE	ASX USE ONLY
C.1	Provide the full address of each **primary site** at which you will be conducting ASX operations and confirm whether the site houses technology (e.g. systems and infrastructure) and/or personnel. *If you have more than 3 primary sites, add an addendum with the information below for each site.*		
	Primary site 1	☐Technology ☐Personnel Address:	
	Primary site 2	☐Technology ☐Personnel Address:	
	Primary site 3	☐Technology ☐Personnel Address:	

SECTION C: CORE PERSONNEL, SYSTEMS RESILIENCE & DATA RECOVERY GN10 Key Requirements 4.1, 4.3, 4.4, 4.5, 4.7 & 4.9		APPLICANT RESPONSE	ASX USE ONLY
C.2	Provide the full address of each **alternate site** at which you will be conducting ASX operations and confirm whether the site houses technology (e.g. systems and infrastructure) and/or personnel. *If you have more than 3 alternate sites, add an addendum with the information below for each site.*		
	Alternate site 1	☐Technology　　☐Personnel Address:	
	Alternate site 2	☐Technology　　☐Personnel Address:	
	Alternate site 3	☐Technology　　☐Personnel Address:	
C.3	Confirm that you have a nominated business continuity officer and have identified the core personnel needed to recover and resume your ASX operations within the RTO stated in your BCP. (Key Requirement 4.1)	☐　Confirmed – have a nominated business continuity officer ☐　Confirmed – have identified the core personnel required	
C.4	Confirm that the identified core personnel will have the facilities needed to recover and resume your ASX operations within the RTO stated in your BCP. (Key Requirement 4.1)	☐ We operate multiple sites with the required core personnel available at the alternate site(s) at all times ☐ There are sufficient dedicated seats at the alternate site(s) to cater for the required core personnel ☐ The required core personnel will have remote access to the alternate site(s) ☐ The required core personnel will have the necessary facilities through a combination of dedicated seats at the alternate site(s) and remote access	
C.5	Do you have an up-to-date allocation matrix that is aligned with key requirements of 4.1? If No, confirm when you will develop and finalise your allocation matrix.	Yes　　　　　　No	

SECTION C: CORE PERSONNEL, SYSTEMS RESILIENCE & DATA RECOVERY GN10 Key Requirements 4.1, 4.3, 4.4, 4.5, 4.7 & 4.9		APPLICANT RESPONSE		ASX USE ONLY
C.6	Do you have a system and technology replacement policy that is aligned with key requirements of 4.4? If No, confirm when you will develop and finalise your replacement policy.	Yes	No	Page 7 of 11
C.7	Are your system resilience measures aligned with the key requirements of 4.7? If No, confirm when you will align your system resilience measures with the key requirements, and provide details of the changes required to align the system resilience measures.	Yes	No	
C.8	Do you have plans and processes in place and is your technology configured so that in the event of a technology disruption at the **primary site(s)** there is minimal loss of data relevant to your ASX operations? (Key Requirement 4.9) If No, confirm when you will align your data recovery arrangements, and provide details of the changes required to align your arrangements.	Yes	No	

SECTION D: Connectivity Requirements GN10 Key Requirement 4.8		APPLICANT RESPONSE	ASX USE ONLY
D.1	Confirm the connectivity arrangements your participant proposes to use to connect to ASX CHESS.	**Primary Site(s)** ☐ ASXNet ☐ Site to Site VPN **Alternate Site(s)** ☐ ASXNet ☐ Site to Site VPN	

SECTION E: INCIDENT MANAGEMENT PLAN GN10 Key Requirement 4.10 and 4.11		APPLICANT RESPONSE		ASX USE ONLY
E.1	Do you have a documented incident management plan that is aligned with the key requirements of 4.10?	Yes	No	

SECTION E: INCIDENT MANAGEMENT PLAN GN10 Key Requirement 4.10 and 4.11	APPLICANT RESPONSE	ASX USE ONLY
	If No, confirm when you will align your incident management plan with the requirements, and provide details of the actions required to finalise the incident management plan.		
E.2	Confirm that you will maintain incident management records that are aligned with the key requirements of 4.11.	☐ Confirmed	

SECTION F: BCP TESTING GN10 Key Requirement 4.12	APPLICANT RESPONSE	ASX USE ONLY
F.1	Confirm that you will be conducting business continuity testing of your disaster recovery and business continuity arrangements: (i)　　at least once annually; and (ii)　　as soon as practicable following any material change to your business or disaster recovery and business continuity arrangements.	(i) ☐ Confirmed (ii) ☐ Confirmed	
F.2	Confirm that your test regimen will cover the minimum requirements outlined in the key requirements of 4.12.	☐ Confirmed	

SECTION G: OUTSOURCED OR OFFSHORED OPERATIONS GN10 Key Requirement 4.13	APPLICANT RESPONSE	ASX USE ONLY
G.1	Will you be offshoring any part of your ASX operations to a wholly owned group entity?	Yes　　　　　　No (go to G.4)	
G.2	Provide details of each offshoring, including: • the name of the wholly owned group entity • the activities being offshored • the location of the offshored activities *If multiple activities are being offshored to multiple wholly owned group entities, add an addendum setting out the above information for each service provider.*	The name of the wholly owned group entity: Offshore activities: Location:	

SECTION G: OUTSOURCED OR OFFSHORED OPERATIONS GN10 Key Requirement 4.13	APPLICANT RESPONSE	ASX USE ONLY
G.3	Confirm that you have undertaken appropriate due diligence in relation to each wholly owned group entity to verify that their business continuity arrangements are appropriate and complementary to your arrangements and sufficient to enable you to meet the RTO stated in your BCP.	☐ Confirmed	
G.4	Will you be outsourcing any part of your ASX operations to another party that is not a wholly owned group entity?	Yes No (go to H.1)	
G.5	Provide details of each outsourcing, including: • the name of the service provider • the activities being outsourced • the location of the outsourced activities *If multiple activities are being outsourced to multiple service providers, add an addendum setting out the above information for each service provider.*	The name of the service provider: Outsource activities: Location:	
G.6	Confirm that you have entered a service level agreement with each outsource service provider to ensure that their business continuity arrangements are appropriate and complementary to your arrangements and sufficient to enable you to meet the RTO stated in your BCP.	☐ Confirmed	

SECTION H: CHANGE MANAGEMENT GN10 Key Requirement 4.14	APPLICANT RESPONSE	ASX USE ONLY
H.1	Confirm that you have change management policies and procedures that are designed and function to ensure that changes to your ASX operations are thoroughly assessed, tested and authorised, and that appropriate disaster recovery and roll-back arrangements are in place, before changes are implemented.	☐ Confirmed	

SECTION I: NOTIFICATION REQUIREMENTS GN10 Key Requirement 4.15	APPLICANT RESPONSE	ASX USE ONLY
I.1	Confirm that you have included the notification requirements outlined in Key Requirement 4.15 in your BCP.	☐ Confirmed	

APPENDIX A – SAMPLE INFRASTRUCTURE DIAGRAM

Please note the diagram is to be used as guidance only and is not intended to depict nor prescribe a specific infrastructure arrangement.
All sites listed in section C.1 and C.2 should be included in the infrastructure diagram, along with details of connectivity between each site.

Critical Third Party Provider Network
Add information for each additional third party provider

PROVIDER 1 SITE 1
Address:_____
- ☐ Primary / Alternate Site
- ☐ Personnel # Seats_____
- ☐ Housing Infrastructure / Servers for:
System 1:_____
System 2:_____
System 3:_____

Provider's redundant links

PROVIDER 1 SITE 2
Address:_____
- ☐ Primary /Alternate Site
- ☐ Personnel # Seats_____
- ☐ Housing Infrastructure / Servers for:
System 1:_____
System 2:_____
System 3:_____

Applicant/Participant Network
Add information for each additional site

PARTICIPANT SITE 1
Address: _____
Primary / Alternate / Dual Site (select applicable)
Shared / Dedicated Site (select applicable)
- ☐ Personnel # Seats:_____
- ☐ Housing Infrastructure / Servers for:
System 1:_____
System 2:_____
System 3:_____

PARTICIPANT SITE 2
Address: _____
Primary / Alternate / Dual Site (select applicable)
Shared / Dedicated Site (select applicable)
- ☐ Personnel # Seats:_____
- ☐ Housing Infrastructure / Servers for:
System 1:_____
System 2:_____
System 3:_____

Line type/capacity/provider

External Internet Provider

Remote Access for: #_____ Core Personnel

ASX Network

- **Exigo - Austraclear (ASXC/ASXCF/OTC)**
- **CHESS / CHESSPC (ASXC/ ASXS / PISP)**
- **DCS (ASXC)**
- **Genium (ASXCF)**
- **ASXOnline (ASXCF / OTC)**