

ASX Online – What's New

Overview of the September 2016 'Audience Group' enhancements to the ASX Online customer portal.



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Introduction

ASX is releasing a series of enhancements to ASX Online in September 2016 as part of its ongoing commitment to continuous improvement of the platform. These changes will help Enterprise Administrators assign roles and permissions more effectively within their client organisation; and allow ASX to better target services and communications to its customers. The following information will assist Enterprise Administrators understand these changes to ASX Online and complements the existing [ASX Online guides for Enterprise Administrators](#).

A summary of what's new

Changes	What's changing
Introduction of Audience Groups	<p>The new changes will assign all ASX Online roles under three customer-oriented categories called Audience Groups. [See Appendix A – Hierarchy of Audience Groups & Roles]</p> <ul style="list-style-type: none">• These Audience Groups will help the ASX better target ASX Online services based on the professional needs of the client-base.• The most obvious display of these Audience Groups will occur in the role selection page, during the provisioning of new users. [See Image 4-6]• These Audience Groups are:<ol style="list-style-type: none">1. Participants2. Technical Services3. Approved Market Operators
Scope of Enterprise Administrator authority	<ul style="list-style-type: none">• Previously, Enterprise Administrators were able to manage all ASX Online user accounts from the same client organisation.• The new changes will impose limitations restricting Enterprise Administrators to managing ASX Online user accounts within the same Audience Group only.• Individual Enterprise Administrators can be assigned to one Audience Group only, or to multiple Audience Groups.• [Audience Group Restriction] When provisioning of new users, the Enterprise Administrators can only assign a user to an Audience Group that the Enterprise Administrator is also a member of.• [Sub-Audience Group Restriction] When provisioning of new users, the Enterprise Administrators can only 'see' the Audience Groups/Roles that



	are permitted by its contractual relationship with the ASX. This contractual relationship is represented by the allocation of Sub-Audience groups on the client organisation's ASX Online record.
Introduction of Sub-Audience Groups	<ul style="list-style-type: none"> Sub-Audience Groups are based in part on the contractual agreements between the ASX and the client. These Sub-Audience groups will not be visible to the ASX Online users, but will be assigned to the client organisation ASX Online record, and will be used to determine which services are available on ASX Online to the client organisation.
View All Users	<ul style="list-style-type: none"> The filtering of the 'View All Users', used by Enterprise Administrators to drill down to an individual user account, has been enhanced and integrated with the Audience Group/Role hierarchy. [See Image 1]
Finding your Enterprise Administrators	<ul style="list-style-type: none"> A list of all client organisation Enterprise Administrators will be available to all ASX Online users, by selecting the Company Information >> Enterprise Admins link on the left-hand navigation menu. [See Image 2]
Renaming of Roles	<ul style="list-style-type: none"> The role called 'Default' has been renamed 'Standard User'. Each user will initially be assigned the "Standard User" role. Any user who is assigned a more specialised, higher order role, will still retain the "Standard User" role. The role called 'Business Authorised' has been renamed 'Application Submission', and remains essentially the same. The sharing Roles previously named 'Front Office', 'Middle Office' and 'Back Office' have been renamed 'Sharing Group 1', 'Sharing Group 2', and 'Sharing Group 3'.
Re-purposing of Roles	<ul style="list-style-type: none"> 'Standard User' and 'Enterprise Administrator' - As a result of the introduction of Audience groups, all roles are located under a specific Audience Group. 'Standard User' and 'Enterprise Administrator', are located under each and every Audience group. 'Tech Authorised' has been re-scoped with a subset of the permissions it previously held. Previously, 'Tech Authorised' included "Work Access Request" and "Request Smart Hands", as well as the subset of permissions that it still retains.

	<ul style="list-style-type: none"> The new changes to the 'Tech Authorised' role will remove the above two permissions, whilst retaining the following permissions: <ol style="list-style-type: none"> Request a Price View my Orders View my Service Contracts
Removal of Roles	<ul style="list-style-type: none"> 'Tech Operator' has been removed and has been replaced with 5 permission specific Roles.
New Roles	<ul style="list-style-type: none"> The 5 permission specific Roles that replace 'Tech Operator' are: <ol style="list-style-type: none"> Request a Price Work Access Request Request Smart Hands View my Orders View my Service Contracts

Introduction of Audience & Sub-Audience Groups

Audience Groups

Audience Groups are 'generalised' customer-oriented categories implemented by ASX to help us better meet the varied and specific needs of our clients. Users are typically grouped into one of the available Audience Groups, by their respective Enterprise Administrator.

Currently, ASX Online provides the following Audience Groups, and will progressively integrate other outstanding Audience Groups into ASX Online, such as Issuers.

Current ASX Online Audience Groups

Audience Groups	Description
Participants	<ul style="list-style-type: none">ASX offers a range of services that span its trading, clearing and settlement facilities to Participant clients.
Technical Services	<ul style="list-style-type: none">ASX offers a range of financial markets technology to its Technical Services clients.
Approved Market Operators	<ul style="list-style-type: none">ASX provides a range of services for Approved Market Operators

Sub-Audience Groups

Sub-Audience groups are loosely based on the licensing contracts of service between the ASX and its client organisations, and determine the precise permissions available to that organisation via ASX Online. These Sub-Audience groups will not be visible to users on ASX Online, but will be used to determine which roles are available to assign to users by the Enterprise Administrator.

Current ASX Online Sub-Audience Groups

Audience Groups	Sub-Audience Groups
Participants	<ul style="list-style-type: none">ASX MarketASX 24 MarketASX SettlementASX ClearASX Clear (Futures)



	<ul style="list-style-type: none"> • Austraclear
Technical Services	<ul style="list-style-type: none"> • ALC • ASX Net • Development
Approved Market Operators	<ul style="list-style-type: none"> • Approved Market Operators • Non-ASX Market

The Roles and their Permissions

What types of roles are available in the new ASX Online?

Refer to Appendix A for a hierarchical view of these Roles within the Audience Groups.

Enterprise Administrator	This role creates, manages and disables users on ASX Online for their respective client, limited only by the Audience Group the 'Enterprise Administrator' represents. This role must be present in every Audience Group. This role is also responsible for maintaining the organisational details of the entity including branch locations and if applicable, the business profile, which appears on asx.com.au in the Find a Broker search.
Standard User	This role, previously called 'Default', allows users to view and manage their own personal contact information. They can also manage notification and event preferences, can view participant organisational details, and can submit and manage a service request. This role must be present in every Audience Group.

Participants

Compliance	This role can view and manage all compliance service requests. It is typically assigned to the Compliance Management of the client organisation.
Application Submission	This role, previously called 'Business Authorised', can view and manage all application submissions on behalf of the applicant including application for Operating Rule Waivers. This role is also suited to users acting in a position of authority on behalf of the applicant/participant but are not directly employed by the entity itself. i.e. a participants legal representation.
Short Sales Reporting	This role can view Short Sales Reporting related pages and submit a Short Sales Report on behalf of the participant.
Securities Lending Reporting	This role can view Securities Lending Reporting related pages and submit a Securities Lending Report on behalf of the participant.
Authorised Signatory - ASX Market	Provides for a level of authorisation to act on behalf of the entity. Unrelated to ASX Online functionality. ASX internal staff will confirm authorisation exists prior to executing requests: execute relevant ASX requests such as trade cancellations, query orders with Trading Operations.
Authorised Signatory – ASX 24 Market	Provides for a level of authorisation to act on behalf of the entity. Unrelated to ASX Online functionality. ASX internal staff will confirm authorisation exists prior



	to executing requests: execute relevant ASX24 Trade Participants requests such as trade cancellations, query orders with Trading Operations
Sharing Group 1	These roles have had a name change from 'Front Office' to 'Sharing Group 1'. Can view and manage all service requests raised by ASX Online users allocated to that group 1*.
Sharing Group 2	These roles have had a name change from 'Middle Office' to 'Sharing Group 2'. Can view and manage all service requests raised by ASX Online users allocated to that group 2*.
Sharing Group 3	These roles have had a name change from 'Back Office' to 'Sharing Group 3'. Can view and manage all service requests raised by ASX Online users allocated to that group 3*.

Technical Services

Tech Authorised	This role can order an ALC Service, can request a quote for a price of an ALC product or service, and can view current ALC product and services. Can submit and manage a technical service request.
Request a Price	This role allows the individual to submit a request for pricing as it relates to Technical Services. This could be for products in the ALC or at their ASX Net Site.
Work Access Request	This role allows the individual to raise 'Work Access Request' form online to either ALC or Bondi Junction.
Request Smart Hands	This role allows the individual to request Technical Services at the ALC or Bondi Junction in the form of Smart Hands.
View my Orders	This role allows the individual to view any open or closed orders for the customer entity.
View my Service Contracts	This role allows the individual to view any Service Contracts for the customer entity.

Approved Market Operators

Short Sales Reporting	This role can view Short Sales Reporting related pages and submit a Short Sales Report on behalf of the participant.
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Securities Lending Reporting

This role can view Securities Lending Reporting related pages and submit a Securities Lending Report on behalf of the participant.

How these Changes will affect ASX Online

Enterprise Administrators

ASX has created a “master user” in ASX Online known as ‘Enterprise Administrator’. The ‘Enterprise Administrator’ is responsible for creating, managing and disabling authority on behalf of other users within the organisation they are responsible for.

With the incorporation of Audience Groups, ‘Enterprise Administrator’ will be restricted to creating, managing and disabling only those users within their own respective Audience Groups.

ASX will still require a minimum of two separate Enterprise Administrators per client organisation, but there will be three separate ‘Enterprise Administrator’ roles to be filled, one per Audience Group. (An organisation can choose to use the same ‘Enterprise Administrator’ for multiple Audience group roles.)

How do Enterprise Administrators appoint roles?

Enterprise Administrators are still responsible for creating, managing and disabling authority on behalf of other users within the new ASX Online, and this authority will be restricted to the Audience Group(s) that the Enterprise Administrator is representing.

ASX Online will automatically display only the roles that are permitted for use by the client organisation, and so there is no limit or restriction on which (visible) roles can assigned to an ASX Online user.

Standard Users

Enterprise Administrators should use the role of ‘Standard User’ (previously called ‘Default’) for staff who only have limited interactions with ASX Online. A 'Standard User' can view and manage personal contact information, manage notification & event preferences, receive subscriptions based on those preferences as well as submit and manage service requests.

There will be three ‘Standard User’ roles for assignment, one each per Audience Group.



Amending and removed permissions

Enterprise Administrators can continue to amend or remove any roles assigned to a user, restricted only to the users in the same Audience Group as the Enterprise Administrators.

How does a Participant appoint Enterprise Administrators?

Participants can still appoint a new Enterprise Administrator in the same way that other roles are assigned, with the only exception being the first Enterprise Administrator per Audience Group, which would be set by default, but any further assistance of which must be requested from the ASX via a service request.

The assignment of a new Enterprise Administrator must be initiated by an existing Enterprise Administrator, both of which must be from the same Audience Group.

Once initiated, the system will generate a confirmation email, for the purpose of transparency, to be sent to all existing Enterprise Administrators (from all Audience Groups), and to all users with the 'Compliance' Role.

Image 1: View All Users

The filtering in the 'View All Users' page has been enhanced, now providing for filtering by hierarchical roles, as well as alphabetical sorting, active/inactive displays and textual search.

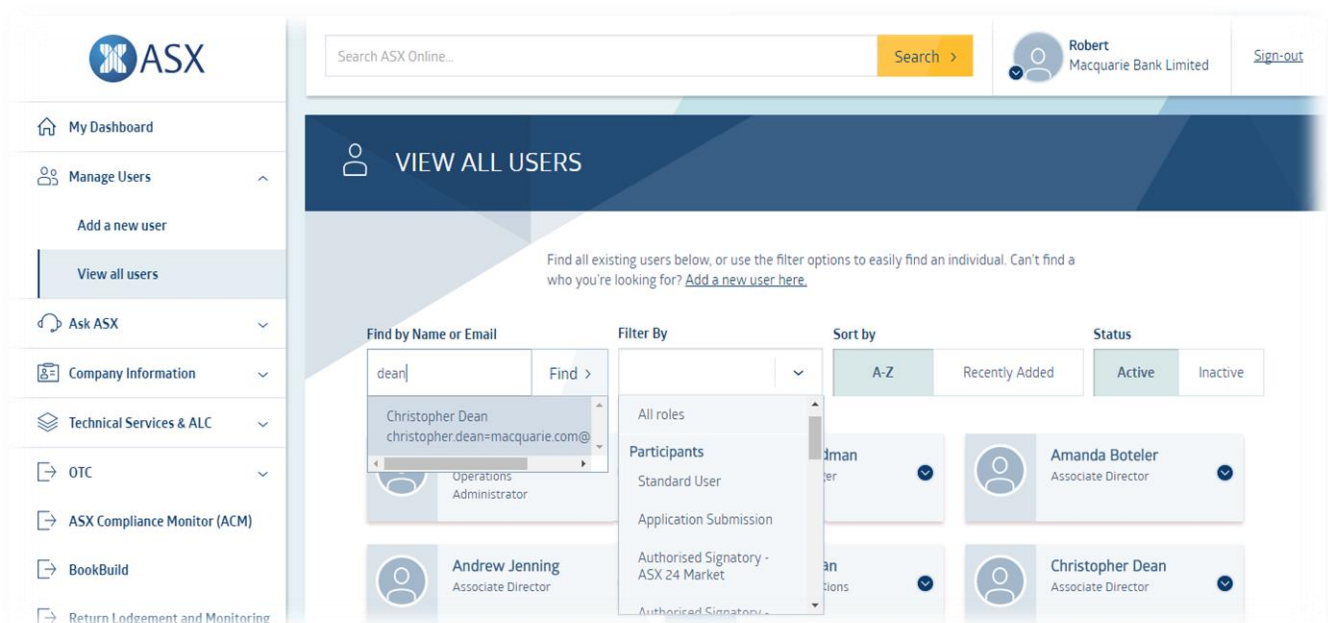


Image 2: How to contact the Enterprise Administrators

ASX Online users who are required to contact an ASX Online Enterprise Administrator, can do so easily by selecting the selecting the [Company Information](#) >> [Enterprise Admins](#) link on the left-hand navigation menu.

The screenshot displays the ASX Online user interface. On the left is a navigation menu with the ASX logo at the top. The menu items include: My Dashboard, Manage Users, Ask ASX, Company Information (expanded), Technical Services & ALC, OTC, ASX Compliance Monitor (ACM), BookBuild, Return Lodgement and Monitoring System (RLM), and TradeAccept. Under 'Company Information', the sub-menu items are: Company details, Enterprise admins (highlighted), Participation, Branch offices, Auditor details, and Business profile. The main content area shows the 'MACQUARIE BANK LIMITED' header with tabs for Details, Enterprise admins (selected), Participation, Offices, Auditor details, and Business profile. Below the tabs, the 'Enterprise Administrators' section provides information about the role and lists two administrators: Robert Savellis, who is the Enterprise Administrator for TECHNICAL SERVICES and PARTICIPANTS. Each entry includes a profile icon, name, email (robert.savellis@asx.com.au), and phone number (+61 2 9227-0498). A disclaimer at the bottom of the page states: 'The ASX Group's activities span primary and secondary market services, including capital formation and hedging, trading and price discovery (Australian Securities Exchange) central counter party risk transfer (ASX Clearing Corporation); and securities settlement for both the equities and fixed income markets (ASX Settlement Corporation)'.



Image 3: Manage user roles and permissions – Previous Role selection screen

The following image displays the ASX Online role selection page, prior to the implementation of Audience Groups. In the below image, all roles are available from the one display.

ASX

Search ASX Online... Search

Jason First National Brokers Sign-out

EDIT REGINA'S ROLE

Please select one or more roles below.

ASX will provide Regina with access to a selection of tasks in the portal based on permissions related to the roles assigned here. To find out more, click the info icon on each tile, or [download a complete list of roles and associated permissions / PDF 115kb](#).

Default <input checked="" type="checkbox"/> ?	Operations Member (Front Office) <input type="checkbox"/> ?	Operations Member (Middle Office) <input type="checkbox"/> ?
Securities Lending Reporting <input type="checkbox"/> ?	Tech Authorised <input type="checkbox"/> ?	Tech Operator <input type="checkbox"/> ?
Short Sales Reporting <input type="checkbox"/> ?	Operations Member (Back Office) <input type="checkbox"/> ?	Business Authorised <input type="checkbox"/> ?
Compliance Manager <input type="checkbox"/> ?	Finance <input type="checkbox"/> ?	Authorised Signatory - ASX Trade24 Participants <input type="checkbox"/> ?
Authorised Signatory - ASX Trade Participants <input type="checkbox"/> ?		

Save Changes >

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Image 4: Manage user roles and permissions – Participants Audience Group

The following image displays the new ASX Online role selection page, when selecting the ‘Participants’ Audience Group. In the below image, ten roles are displayed, two of which are present in each Audience Group, including two non-functional Authorised Signatory Roles, three Sharing Group Roles (of Service Requests), the ‘Securities Lending Reporting’ Role, the ‘Short Sales Reporting’ Role, and the ‘Compliance’ Manager Role.

ASX

Search ASX Online... Search >

Robert Macquarie Bank Limited Sign-out

EDIT ROBERT'S ROLE

Please select one or more roles below.

ASX will provide Robert with access to a selection of tasks in the portal based on permissions related to the roles assigned here. To find out more, click the info icon on each tile, or [download a complete list of roles and associated permissions / PDF 115kb](#)

AMO

Participants

Technical Services

Standard User <input checked="" type="radio"/> ?	Authorised Signatory ASX Market <input type="radio"/> ?	Authorised Signatory ASX 24 Market <input type="radio"/> ?
Enterprise Administrator <input type="radio"/> ?	Securities Lending Reporting <input type="radio"/> ?	Short Sales Reporting <input type="radio"/> ?
Sharing Group 1 <input type="radio"/> ?	Sharing Group 2 <input type="radio"/> ?	Sharing Group 3 <input type="radio"/> ?
Compliance <input type="radio"/> ?		

Save Changes >

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Image 5: Manage user roles and permissions – Technical Services Audience Group

The following image displays the new ASX Online role selection page, when selecting the 'Technical Services' Audience Group. In the below image, eight roles are displayed, two of which are present in each Audience Group, including five service specific Roles, and the 'Tech Authorised' Role.

ASX

Search ASX Online... **Search**

Robert Macquarie Bank Limited **Sign-out**

EDIT ROBERT'S ROLE

Please select one or more roles below.

ASX will provide Robert with access to a selection of tasks in the portal based on permissions related to the roles assigned here. To find out more, click the info icon on each tile, or [download a complete list of roles and associated permissions / PDF 115kb](#).

AMO Participants **Technical Services**

Standard User <input checked="" type="checkbox"/>	Enterprise Administrator <input type="checkbox"/>	Request a Price <input type="checkbox"/>
Request Smart Hands <input type="checkbox"/>	Tech Authorised <input type="checkbox"/>	View my Orders <input type="checkbox"/>
View my Service Contracts <input type="checkbox"/>	Work Access Request <input type="checkbox"/>	

Save Changes

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Image 6: Manage user roles and permissions – Approved Market Operators Audience Group

The following image displays the new ASX Online role selection page, when selecting the 'Approved Market Operators' Audience Group. In the below image, four roles are displayed, two of which are present in each Audience Group, two others of which are also available in the 'Participants' audience group.

ASX

Search ASX Online... [Search >](#)

Robert Macquarie Bank Limited [Sign-out](#)

EDIT ROBERT'S ROLE

Please select one or more roles below.

ASX will provide Robert with access to a selection of tasks in the portal based on permissions related to the roles assigned here. To find out more, click the info icon on each tile, or [download a complete list of roles and associated permissions / PDF 115kb](#).

AMO Participants Technical Services

Standard User ☒ Short Sales Reporting ☐ Enterprise Administrator ☐

Securities Lending Reporting ☐

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The ASX Group's activities span primary and secondary market services, including capital formation and hedging, trading and price discovery (Australian Securities Exchange) central counter party risk transfer (ASX Clearing Corporation); and securities settlement for both the equities and fixed income markets (ASX Settlement Corporation).



Image 7: Manage user roles and permissions – Participants only Audience Group

The following image displays the new ASX Online role selection page, as it may most commonly be viewed. It is important to note that ASX Online will only display the Audience Groups and Roles relevant to your client organisation, and in most cases this will be a subset of the available Audience Groups and Roles.

ASX

Search ASX Online... Search >

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EDIT ROBERT'S ROLE

Please select one or more roles below.

ASX will provide Robert with access to a selection of tasks in the portal based on permissions related to the roles assigned here. To find out more, click the info icon on each tile, or [download a complete list of roles and associated permissions / PDF 115kb](#).

Participants

Standard User <input checked="" type="checkbox"/> ?	Authorised Signatory ASX Market <input type="checkbox"/> ?	Authorised Signatory ASX 24 Market <input type="checkbox"/> ?
Enterprise Administrator <input type="checkbox"/> ?	Securities Lending Reporting <input type="checkbox"/> ?	Short Sales Reporting <input type="checkbox"/> ?
Sharing Group 1 <input type="checkbox"/> ?	Sharing Group 2 <input type="checkbox"/> ?	Sharing Group 3 <input type="checkbox"/> ?
Compliance <input type="checkbox"/> ?		

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The ASX Group's activities span primary and secondary market services, including capital formation and hedging, trading and price discovery (Australian Securities Exchange)



Appendix A – All the Roles and Audience Groups

- Participants
 - Standard User
 - Enterprise Administrator
 - Application Submission
 - Compliance
 - Short Sales Reporting
 - Securities Lending Reporting
 - Sharing Group 1
 - Sharing Group 2
 - Sharing Group 3
 - Authorised Signatory - ASX Market
 - Authorised Signatory - ASX 24 Market
- Technical Services
 - Standard User
 - Enterprise Administrator
 - Tech Authorised
 - Request a Price
 - Work Access Request
 - Request Smart Hands
 - View my Orders
 - View my Service Contracts
- Approved Market Operators
 - Standard User
 - Enterprise Administrator
 - Short Sales Reporting
 - Securities Lending Reporting

If you have any questions please contact asx.online@asx.com.au.

