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| Information Classification - Confidential |

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| ASX Trade  **ITCH and OUCH Application Conformance**  **Pre-Test Checklist**  July 2023 |
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1. Who is conducting this test?

|  |  |
| --- | --- |
| Test Contact Name and Number | Firm/Company name |
|  |  |

1. What application are you testing?

|  |  |  |
| --- | --- | --- |
| Application Name and Version Number | Application Details\* | |
| **Protocol** | **Session/Login Id (1 per protocol only)** |
|  | ASX Trade ITCH  Source IP for Rewinder request: |  |
| ASX Trade OUCH |  |

|  |  |
| --- | --- |
| Application Details | |
| **Developer Name** |  |
| **Phone Number** |  |
| **Participant Type (Trading Participant or Vendor)** |  |
| **Commercial Application Name** |  |
| **Developed or provided by software vendor** |  |
| **Compiler/Linker used** |  |
| **Operating System used** |  |

1. When do you plan to test?

Customers have a maximum of 5 continuous business days to complete the full test. Tests that run over this period will require a complete re-sit of the conformance test in order to be assessed by ASX.

Please advise below when you intend to conduct your **self-test**, this test should be completed in one trading session:

|  |  |  |
| --- | --- | --- |
| Self-test Date | Self-test Start Time | Self-test End Time |
|  |  |  |

1. Instruments to be used during testing?

|  |  |
| --- | --- |
| Type of Tests | Instrument Code |
| **Equity** |  |
| **Options/Warrants** |  |

1. What will you be testing?

To facilitate a timely and efficient assessment and reporting process, ASX asks customers to complete the following table, which specifies the test script(s) that are **NOT** applicable for their conformance test.

There are four options for each test case:

* Mandatory (**M**) – must be attempted and passed.
* Supported Functionality (**SF**) – this case is conditionally mandatory if you intend to support this functionality in production.
* Optional (**O**) - can be skipped if the application does not support this function. The function may not be used in production.
* Not Supported (**NS**) – Optional and Supported Functionality cases can be set to Not Supported only if this functionality will not be used in production.

**O** and **SF** cells can be changed to **NS** by clicking the value in the cell you wish to modify and select **NS** from the drop down list. Customers must also provide details as to why they will not attempt the test case.

| Section | Title | OUCH | ITCH | Reason |
| --- | --- | --- | --- | --- |
| 3.1.1 | Log On | M |  |  |
| 3.1.2 | Log Out | M |  |  |
| 3.2.1 | Equity Order Entry | M |  |  |
| 3.2.2 | Equity Order Modification | M |  |  |
| 3.2.3 | Equity Order Cancellation | M |  |  |
| 3.3.1 | Centre Point – Mid-point only | SF |  |  |
| 3.3.2 | Centre Point – Dark Limit Order | SF |  |  |
| 3.3.3 | Centre Point – Sweep Order | SF |  |  |
| 3.3.4 | Centre Point – Dual-posted Sweep Order | SF |  |  |
| 3.3.5 | Centre Point – Block w/ MAQ Order | SF |  |  |
| 3.3.6 | Centre Point – Dark Limit w/ MAQ Order | SF |  |  |
| 3.3.7 | Centre Point – Limit Sweep w/ MAQ Order | SF |  |  |
| 3.3.8 | Centre Point – Any Price Block Order | SF |  |  |
| 3.3.9 | Centre Point – Any Price Block w/ MAQ Order | SF |  |  |
| 3.4.1 | Unintentional Crossing Protection | SF |  |  |
| 3.4.2 | Fak/FoK Time Validity | SF |  |  |
| 3.4.3 | Short Selling | SF |  |  |
| 3.4.4 | Cancel by Order ID | SF |  |  |
| 4.1 | Order Status Verification | M |  |  |
| 4.2 | Account Disable | M |  |  |
| 4.3 | OUCH Recovery | M |  |  |
| 5.1.1 | ITCH Rewinder - Gap Request Packet |  | M |  |
| 5.1.2 | ITCH Snapshot - Glimpse |  | M |  |
| 5.2.1 | ITCH – Order and Trade Validation |  | M |  |
| 5.2.2 | ITCH – Session State Validation |  | M |  |

1. Attestation

I confirm, that by submitting this document, I have read and understood the expectations of the ASX Application Conformance test. I will at all times, throughout my test, adhere to those expectations with special consideration given to ASX Operating Rules and Procedures on acceptable market behaviour.

I also confirm the following:

* The application details provided in this document, specify the application, which will be used to perform the test scripts nominated as applicable to ASX conformance requirements.
* The application and version used in this conformance test will be the same as used in production.
* If upon receiving a ‘pass’ assessment for this application I subsequently alter this application, I understand ASX requires that I re-sit the Application Conformance test as a new, complete, and separate instance.
* The ultimate responsibility of the application is that of the customer and ASX accepts no liability in any impact to the operation and / or integrity of the environment introduced as a result of this application.

1. Who do you send this to?

This checklist should be returned to CTS **no later than 1 business day prior** to the intended test date.

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