



ASX Trade

ASX Trade Refresh - Dress Rehearsal 2

August 2020

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1 Introduction

As part of the ASX Trade refresh project, ASX will conduct three dress rehearsal events prior to the go-live on the following dates:

- Saturday 25 July 2020 – Dress rehearsal 1 (complete)
- Saturday 22 August 2020 – Dress rehearsal 2
- Saturday 19 September 2020 – Dress rehearsal 3

This document provides details on the second dress rehearsal event for the ASX Trade refresh project. The focus of the day will be for all ASX Trade production users on the 3 services OMNet, OUCH, ITCH to login and interact with the market. The market will be open for order entry and matching and be put into various trading states.

1.1 Expectations

- Customers must have completed conformance testing prior to this event.
- Customers will logon with every application and each user for OMNet, OUCH, Glimpse ITCH, using production network paths.
- For trading applications, enter orders – load size at customer discretion. Applications should amend, cancel, trade those orders.
- Customers are advised to use production infrastructure or as close to end-state infrastructure as possible for these events.
- For ASX Net gateway, gateway-in-cabinet, LCC OMNet and OUCH customers, login is available to all ALC gateways and SDC gateways. ASX strongly recommends that customers test all paths that could be used by their applications under both normal and DR scenarios.
- The dress rehearsals will use live production instruments, and customers must take care to prevent data flowing to their downstream production systems.
- For OMNet and Glimpse, customers will use their existing production usernames and passwords. Any OMNet password changes that occur on the day will not carry forward to the following Monday.
- OUCH usernames and passwords were issued prior to the first dress rehearsal and these will be persisted into this rehearsal.
- Trade and order history queries for previous days will not be available; other queries will be available.
- Long orders will be migrated and available for testing during this rehearsal, with the exception of undisclosed, iceberg and expired, inactive orders.
- ASX will use the [System Status Page \(SSP\)](#) to communicate movement into the phases in the test schedule.
- On the completion of the ASX platform failovers, LCC OMNet customers have the opportunity to opt-in to an additional failover test. A message will be sent on the SSP to provide 5 minutes notice before the test occurs. Please arrange this in advance with your Technical Account Manager – bookings will be accepted up to Wednesday 19 August 2020.
- Customers are required to confirm participation in this event via email to cts@asx.com.au, nominating an **email address** and **phone number** for a minimum of:
 - 1 operational or technical testing contact person
 - 1 escalation contact person

1.2 Version History

| Version | Date | Comment |
|---------|-------------|--|
| v1.0 | August 2020 | Initial version |
| v1.1 | August 2020 | Added steps for optional gateway failovers |
| v1.2 | August 2020 | Added market functionality test cases |

2 Test Schedule

Dress rehearsal 2 is focused on revising the functional areas of the first rehearsal: connectivity, login, order entry and familiarising participants with the go-live approach. Special attention will be paid to verifying the connectivity and testing the applications that had issues in the first rehearsal. Times (AEST) are indicative and may change based on events occurring on the day.

12:00 – the new pre-production network brought on-line

Routes are advertised.

LCC customers are requested to ping their primary ALC gateways and secondary data centre (SDC) gateways.

Customers can test TCP service target IPs and ports with telnet and expect “Connection refused” as a successful result.

13:00 – connectivity and login available

Customers can establish TCP connections to their TCP service targets – OMNet, OUCH, ITCH Glimpse.

Customers may login to OMNet, ITCH, OUCH services.

- It is expected that customers will logon with every production user for those services.
- During the course of the day, it is expected that ASX Net gateway, gateway in cabinet, LCC gateway and OUCH customers will test the ability to login to their SDC targets.
- Across the test schedule, ASX will generate gaps in the multicast stream of the ITCH service on an ad-hoc basis. This will assist customers with testing automatic rewind functionality in their ITCH applications. After each gap is generated, notification will be provided on the SSP.
- Market state will be CLOSE.

13:40 – markets to PRE_OPEN

Order entry enabled.

- It is expected that customers will enter orders – the load size is at the customer’s discretion.
- Customers can use live production instruments, and are advised to exercise caution to prevent data flowing to their production downstream systems.
- Trade and order history queries for previous days will not be available; other queries will be available.

14:00 – markets to OPEN

Matching commences. ASX will generate a small amount of order activity. For trading applications, enter orders – load size at customer discretion. Customers are expected to test order entry, amendment and cancellation in addition to running their own test scenarios.

14:15 – market functionality scenarios

ASX will run the following manual test cases.

- Edit Underlying Description in ZZG
- Create a TMC in RIO
- Cancel a trade

- Amend Trade Report Class for GLN
- Corporate action - add XD tag to PRX
- Create Special Market in WEB
- Place BLD into REG_HALT at 14:20 for 2 minutes
- Place MAX into REG_HALT at 14:30 for 2 minutes

14:30 – optional LCC OMNet failover step 1

Selected ALC LCC OMNet services failed as requested by customers. This step is invisible to customers that have not requested customer failover testing.

Market remains in OPEN.

14:45 – optional LCC OMNet failover step 2

Further selected ALC LCC OMNet services failed as requested by customers. This step is invisible to customers that have not requested customer failover testing.

Market remains in OPEN.

15:00 – ASX failover testing, markets remain in OPEN

ASX will run failover cases, no customer actions are required in this step.

All ALC LCC OMNet services failed in LCC OMNet failover steps 1 and 2 will be restored.

15:30 – markets to PRE_CSPA, CSPA, ADJUST, PURGE_ORDERS

Instruments will cycle through the standard progression of trading states.

16:15 – markets to CLOSE

Logins are enabled, markets in CLOSE.

Customers are required to provide email sign-off that necessary rollback tasks have been completed and their systems are ready for trading on the following Monday.

16:45 – testing concludes

Users will be logged off and TCP connectivity will no longer be available.

From early Sunday morning – current production OUCH, Glimpse ITCH and OMNet TCP targets available for telnet where “Connection refused” is considered to be a successful result.

Sunday 14:30 – telnet connectivity to OMNet targets will be available for current production.

Monday 02:25 – ASX Trade is available for login on all services at the routine time.

3 Enquiries

3.1 Technical queries

On the day, for technical queries please contact:

- Customer Technical Support
Email: cts@asx.com.au
From international locations: +612 9227 0372
From within Australia: 1800 663 053
- Your ASX Technical Account Manager

3.2 Connectivity queries

For queries relating to connectivity, please contact CTS and have this information ready:

1. Connectivity method: LCC / ASX Net gateway / Gateway-in-Cabinet (GiC) / International
2. The ASX Trade service: OUCH, ITCH, OMNet.
3. Target IPs and ports
4. If the query is regarding an LCC or International service:
 - a) Cross-connect IP
 - b) Source IP address
 - c) Using static route or BGP?
5. Ping and telnet test results.
6. The existing production details:
 - a) Source IP
 - b) Target IPs and ports

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