



# ASX Trade

## ASX Trade Refresh - Dress Rehearsal 3

September 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 (complete)
- Saturday 19 September 2020 – Dress rehearsal 3 and ASX Trade BCP test

This document provides details on the third dress rehearsal event for the ASX Trade refresh project. The market will be open for order entry and matching and be put into various trading states.

### 1.1 Expectations

- Customers will logon with every application and each user for OMNet, OUCH, Glimpse ITCH, using production network paths.
- This event is both Dress Rehearsal 3 (“DR3”) and a BCP test for the ASX Trade platform, customers should coordinate accordingly.
- During previous rehearsals, ASX observed that customers were connecting to OMNet services with outdated versions of the API kit. Please ensure that the v9.1.38 kit is used to build the applications that will be used for DR3.
- For trading applications, enter orders – load size at customer discretion. Customers should amend, cancel, and trade those orders via their applications.
- 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.
- Throughout the BCP test cases, customers may observe changes in latency.
- 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.
- Customers are required to confirm participation in this event via email to [cts@asx.com.au](mailto: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	September 2020	Initial version

## 2 Test Schedule

Dress rehearsal 3 (“DR3”) will cover the test scenarios for official ASX Trade Business Continuity Testing (BCP testing). These tests are normally run on an annual basis in June. Similar to previous rehearsals, DR3 will also focus on these functional areas: connectivity, login, order entry and familiarising participants with the go-live approach. While ASX runs the BCP test cases, customer logins are not expected to be disrupted. If you experience a loss of connection on the day between 13:00 and 16:45 AEST, please report this to CTS and they will coordinate troubleshooting.

Times (AEST) are indicative and may change based on events occurring on the day. ASX will endeavour to bring the network and system services online up to an hour before the specified times in the below schedule. If customers would like more time to test before the scheduled market phases begin, they should be ready before the times stated below. ASX cannot guarantee that the network and ASX Trade platform will be ready earlier than those times.

### **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.
- 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. ASX will generate a small amount of order activity.
- 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. 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.

### **14:10** – failover scenarios commence – markets remain in OPEN

Failover of matching engine component for partitions 1 and 2.

**14:20** – market state changes following matching engine failovers

- 14:20 ENQUIRE(\*)
- 14:30 ADJUST
- 14:40 PRE\_OPEN
- 14:50 OPEN – staggered open from 14:50

(\*) The start time of this cycle will be approximately 14:20, with each subsequent state to occur in 10 minute increments.

**15:00** – component failovers

- Failover of BO5/BO2 dissemination component for partition 3
- Failover of BO14/BO15 dissemination component for all partitions
- Failover of CB15/CB16 dissemination component for all partitions
- Miscellaneous internal component failovers

**15:20** – ASX database failover and network failover testing

No customer actions are required.

**16:00** – markets to PRE\_CSPA, CSPA, ADJUST, PURGE\_ORDERS

Instruments will cycle through the standard progression of trading states.

**16:30** – 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](mailto: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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