



ASX Online guide for Enterprise Administrators

January 2025

Contents

1. Introduction	3
2. About ASX Online	3
3. Roles and permissions	4
4. Receiving notices	10
5. Browser compatibility	11
6. Security, passwords and PINs	11
7. Subscribing to ASX System Status alerts	11
8. Raising service requests	12
9. Short Sales and Security Lending Reporting	13
10. Compliance forms	15
11. Financial Returns Application (FRA) - for clearing participants and applicants only	15
12. Requesting ALC Access and Ordering Technical Services	16
13. Access to other ASX websites and applications	19
14. Where can I access further information?	19
Appendix A – All roles and Audience Groups	20

1. Introduction

This guide is designed to help new Enterprise Administrators (EA) familiarise themselves with ASX Online roles and functionality, and communicate enhancements and changes to functionality to existing EAs.

2. About ASX Online

What do participants use ASX Online for?

- Receiving Notices that update participants on changes to ASX Operating Rules
- Report lodgement such as Short Selling and Securities Lending
- Submitting, reviewing and approving compliance forms
- Submitting returns required under the ASX Clear and ASX Clear (Futures) Operating Rules using the Financial Returns Application (FRA)
- Raising a service request
- Establishing authorisation credentials for completing trade instructions (Authorised Signatories).

What do ALC and ASX technical services customers use ASX Online for?

- Submission of a Work Access Request
- Submission of a service order such as a Smart Hands
- Requesting a quote for technical services such as a cross connect or a new gateway
- Viewing scheduled maintenance events
- Reviewing existing Service Contracts.

What do ASX credential services customers use ASX Online for?

- Create and manage service accounts for their organisation
- Create and manage credentials for their organisation such as TLS and signing certificates used for connection to ASX services

What other information is available via ASX Online?

- Fee schedules
- ASX Procedure Guidelines (APGs)
- Operating Rules
- System Manuals
- Short Sales and Securities Lending reports
- Application forms and supporting documents

- Dates of key market events such as Non-Trading and Non-Settlement days
- Key reporting deadlines
- Compliance forms
- A real-time status update of ASX systems

3. Roles and permissions

Audience Groups

All ASX Online roles and permissions are managed under four customer-orientated categories called Audience Groups. These Audience Groups are:

1. Participants
2. Technical Services
3. Approved Market Operators
4. Credential Services

These Audience Groups help ASX target ASX Online services based on the professional needs of the client-base. Audience Groups are displayed in the role selection page during the provisioning of new users.

Credential services customers please note that for ITE2 CHES go-live release, at least one user should only be assigned to the CHES Non-Production role.

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 (other than other Enterprise Administrators) within the Participant they are responsible for and Audience Group they are part of. An Enterprise Administrator can assign any and all roles to themselves within the same Audience Group. An Enterprise Administrator can also be a member of more than one Audience Group.

There is no limit on the number of Enterprise Administrators a participant can appoint, however, ASX requires a minimum of two per participant.

ASX recommends each participant develop internal business processes to communicate the identity of the Enterprise Administrator to relevant staff.

How does a Participant appoint Enterprise Administrators?

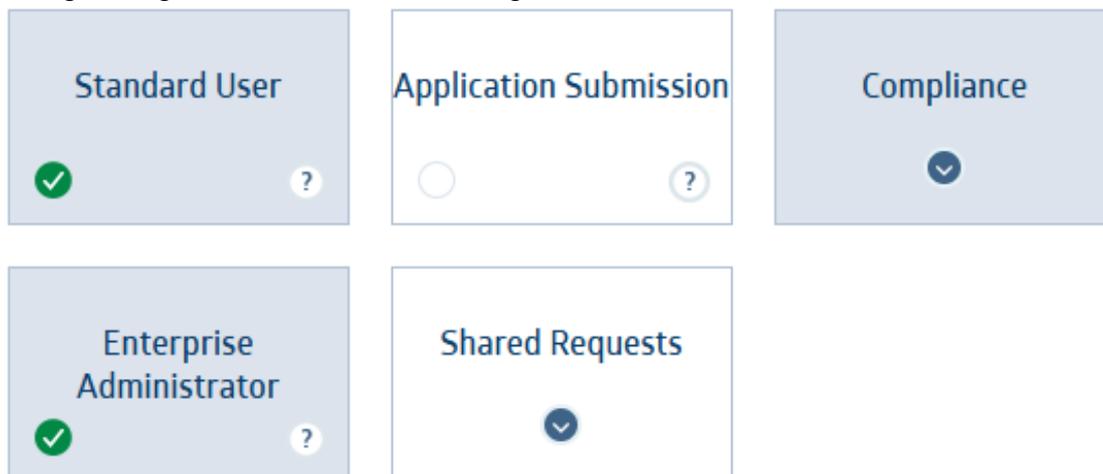
Enterprise Administrators (EA's) have the ability to add new ASX Online users, as well as inactivating existing users via the portal:

 **Manage Users**

Add a new user

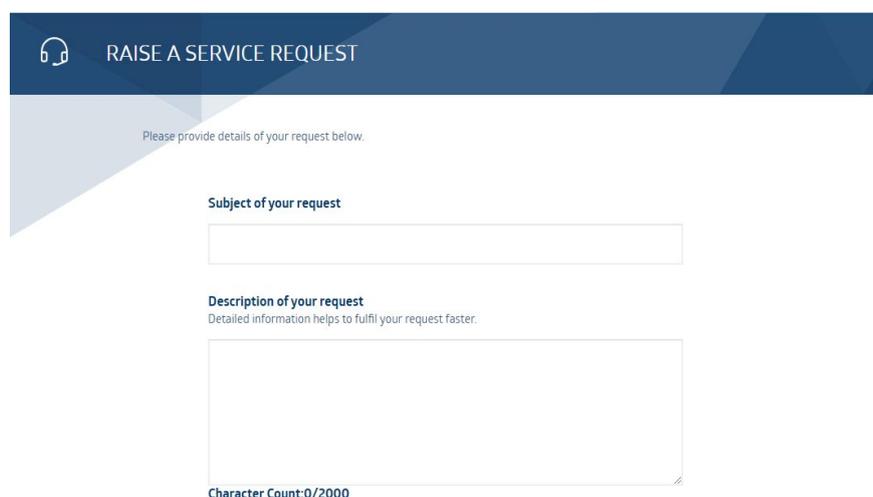
View all users

Additionally, EA's are able to appoint existing users to become Enterprise Administrators (as well as other roles) through Manage Users > View all users > Manage Roles:



How does a Participant remove an Enterprise Administrator?

If no current Enterprise Administrators exist, users will need to log into ASX Online and create a service request to ASX Customer Technical Support (CTS), requesting a new Enterprise Administrator.



How are other roles appointed?

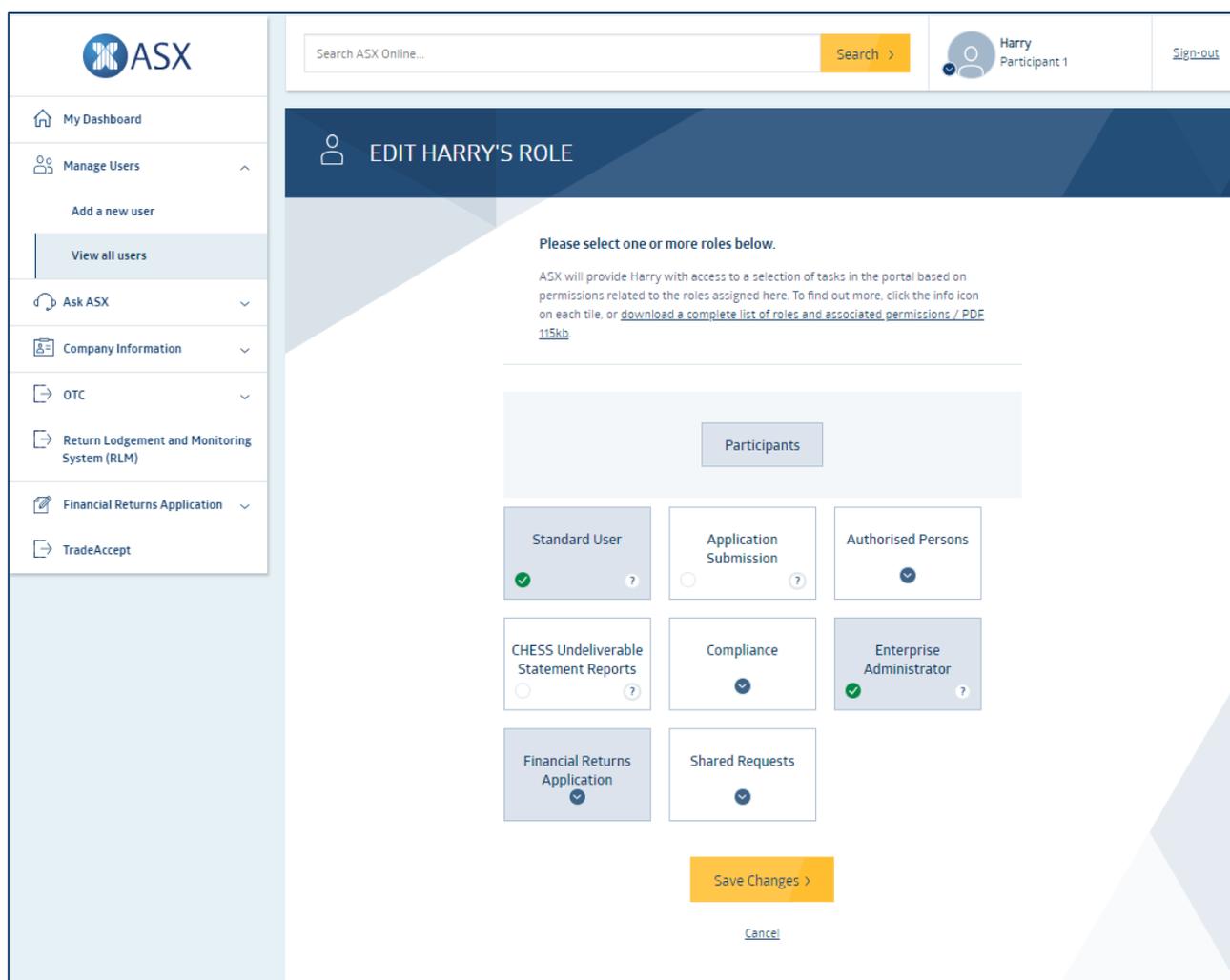
Enterprise Administrators are responsible for creating, managing and disabling authority on behalf of other users within ASX Online (See Image 1: Manage user roles and permissions). There is no limit or restriction on which roles can be assigned to an ASX Online user within the one Audience Group, other than in relation to the FRA Form Editor and Authoriser roles (see the Participant Roles table in the section 'What types of roles are available in ASX Online?'). Enterprise Administrators can assign the role of Authorised Signatory, such as for the purpose of trade cancellations, to an ASX Online user in the same way other roles are assigned to ASX Online users.

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

How are roles and permissions amended and removed?

Enterprise Administrators can amend or remove any roles assigned to a user in the same Audience Group, including disabling the user, effectively suspending their access to ASX Online.

Image 1: Manage user roles and permissions



What types of roles are available in ASX Online?

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 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.

Participant roles

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, 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. the 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.
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.
Sharing Group 1	These roles can view and manage all service requests raised by ASX Online users allocated to that group 1.
Sharing Group 2	These roles can view and manage all service requests raised by ASX Online users allocated to that group 2.
Sharing Group 3	These roles can view and manage all service requests raised by ASX Online users allocated to that group 3.
Forms viewer	Provides access to view historical compliance forms only
Forms editor	This role can create and edit compliance forms.
Forms approver	This role can create, edit and submit compliance forms to ASX.
FRA form editor	This role can edit financial returns and view historical financial returns. This role is only to be used by participants of ASX Clear or ASX Clear (Futures) or firms applying to be such a participant.
FRA form authoriser	This role can authorise and submit (or reject) financial returns and view historical financial returns. This role must only be assigned to company directors and is only to be used by participants of ASX Clear or ASX Clear (Futures) or firms applying to be such a participant.

Technical Services roles

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 ASX Proximity Site.

Request Smart Hands	This role allows the individual to request Technical Services at the ALC or SDC Proximity Site 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.

Credential Services roles

CHESS – Non Prod	<p>This role can create and manage non production (ITE1&ITE2) CHES service accounts and credentials such as the generation of transport layer security (TLS) and signing certificates.</p> <p>Download non-production (ITE&ITE2) CHES certificates</p>
CHESS - Prod	This role can create and manage production CHES service accounts and credentials such as the generation of TLS and signing certificates.

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

How do I sign in to ASX Online if I am assigned to multiple entities?

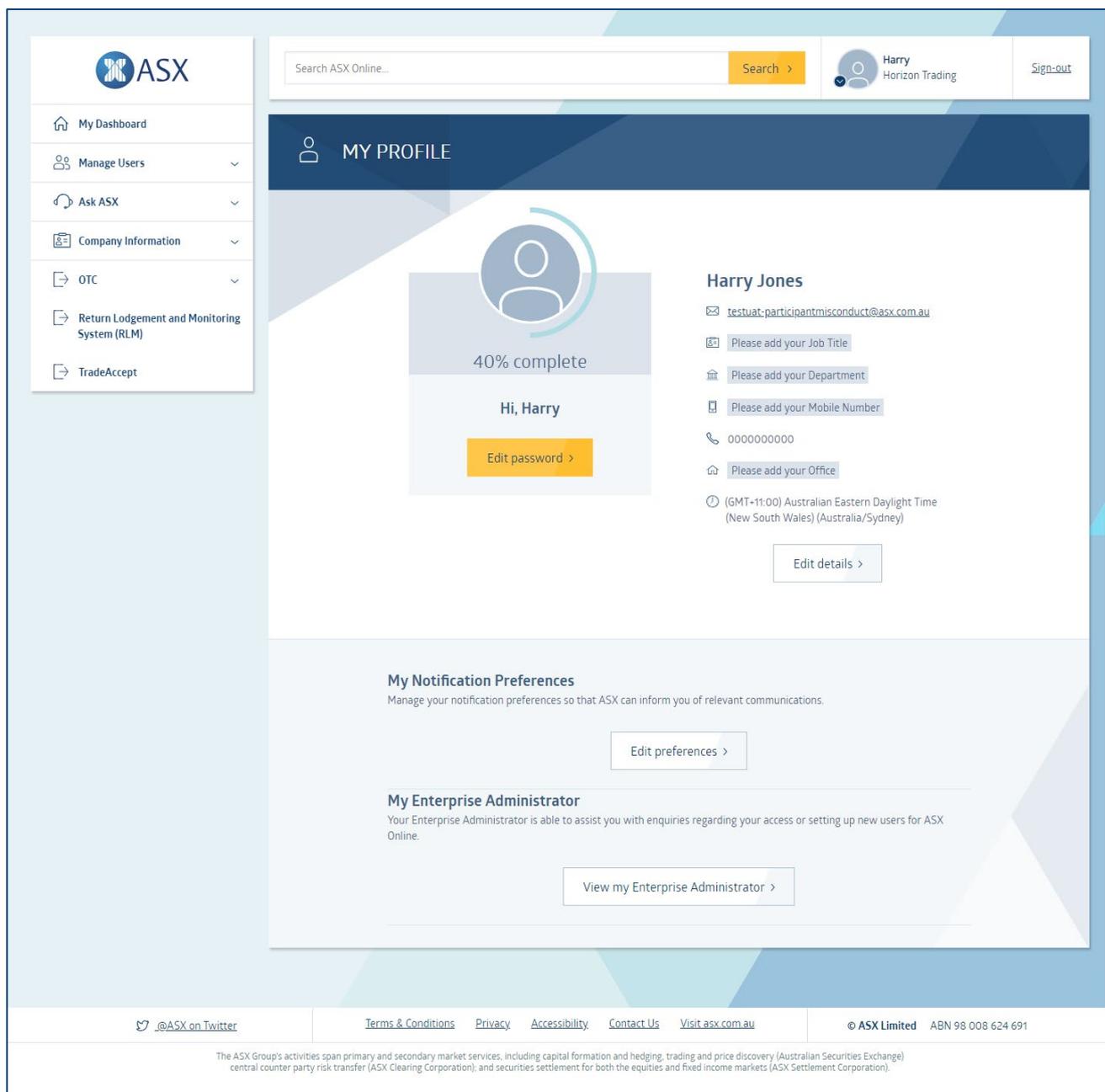
ASX Online users, including Enterprise Administrators, who represent more than one entity will be required to select the relevant entity the user would like to represent when they sign in. An ASX Online user can only be signed in into one entity at a time. ASX Online will display to the user which entity they are signed into. ASX Online users who subscribe to notices and other published content only need to do so from only one of the entities.

What information does ASX require to provide access to ASX Online?

- a. Email Address: The Email address will be used as their username for sign in (Note: ASX requires this to be an individual and not a group email address)
- b. First Name
- c. Last Name
- d. Job Title (optional)
- e. Department (optional): This information may help Enterprise Administrators undertake internal audits of system access
- f. Office Number: The primary contact number for the ASX Online user.
- g. Mobile Number (optional): A secondary contact number for the ASX Online user, if the user is not contactable on the primary number.
- h. Office Address (optional): This information may help Enterprise Administrators undertake internal audits of system access.
- i. Time Zone: This information is used by ASX when making telephone contact with the ASX Online user.

(See Image 2: User Profile)

Image 2: User profile



The screenshot displays the ASX user profile interface. On the left is a navigation menu with options like 'My Dashboard', 'Manage Users', 'Ask ASX', 'Company Information', 'OTC', 'Return Lodgement and Monitoring System (RLM)', and 'TradeAccept'. The main content area is titled 'MY PROFILE' and features a profile card for 'Harry Jones' with a '40% complete' status and an 'Edit password' button. To the right, there are input fields for 'Please add your Job Title', 'Please add your Department', and 'Please add your Mobile Number', along with a phone number '0000000000' and an 'Office' field. Below these are notification preferences and enterprise administrator details. The footer contains social media links, terms and conditions, and copyright information for ASX Limited.

Why are Authorised Signatories asked to provide three Challenge Questions and Answers?

Users that have been authorised to act on behalf of the participant as Authorised Signatories, will be required to create three Challenge Questions and Answers when they sign-in for the first time. This information is used by ASX for the purpose of identifying the user.

Why am I required to accept Terms and conditions when I add a new user to ASX Online?

As an Enterprise Administrator providing access to ASX Online for users within your entity, ASX requires you to inform the relevant user of [ASX's Privacy statement](#).

What can be accessed within ASX Online without signing in?

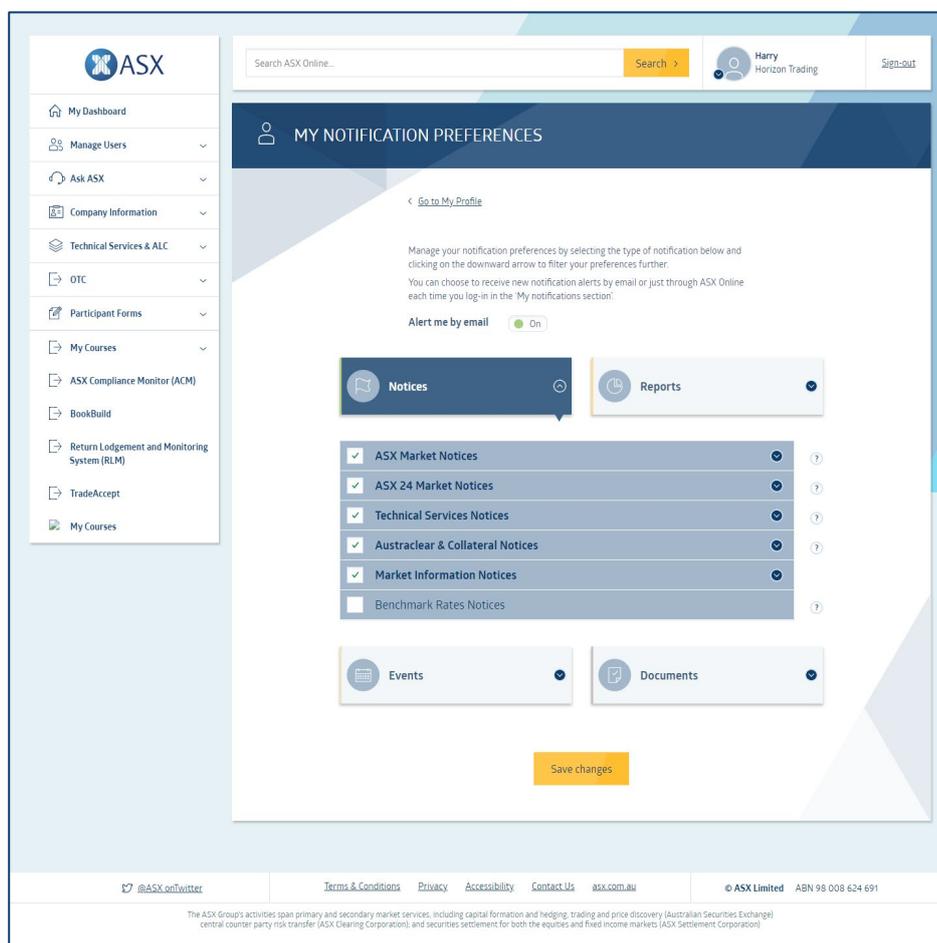
ASX Online users that do not have an ASX Online account can search for and view public notifications including ASX Notices as well as public events.

4. Receiving notices

How can I subscribe to ASX Notices for Participants?

Customers can easily subscribe to ASX Notices and other communications from the 'Manage notifications' page (See Image 3: Manage notification preferences). ASX Online users can choose to have notifications emailed to them or access their notifications within ASX Online.

Image 3: Manage notification preferences



How do I subscribe to ASX notices for ALC and technical services customers?

Customers can easily subscribe to ASX Notifications and other communications such as ALC scheduled maintenance events from the 'Manage Notifications' page (See Image 3: Manage Notification Preferences). ASX Online users can choose to have notifications emailed to them, as is the case today or access their notifications within ASX Online.

How do I view scheduled maintenance events?

ASX Notifications and other communications such as ALC scheduled maintenance events can be viewed through Search or subscribing to Notifications (See Image 3: Manage Notification Preferences).

How will representatives of the participant know who their Enterprise Administrators is?

ASX Online users can view their Enterprise Administrator from their 'My profile' page within ASX Online.

Will ASX recommend which Notices a user should subscribe to?

Yes, ASX will recommend based on role, notification and events that we believe are of interest to a user. Recommendations will be visible on the 'Manage Notifications' page and can be updated as required.

How do users amend Notice preferences?

ASX Notices and other communications can easily be subscribed to from the 'Manage Notifications' page. ASX Online users can choose to have notifications emailed to them, as is the case today or access their notifications from ASX Online directly.

5. Browser compatibility

What browsers is ASX Online compatible with?

ASX Online is compatible with all the major browsers and devices. You will be able to complete your tasks on ASX Online or access your notifications from your desktop, laptop, tablet or smartphone. ASX recommends Chrome when using Participant Forms functionality and the Financial Returns Application.

6. Security, passwords and PINs

Will passwords expire in ASX Online?

ASX Online users will not be required to change their password in ASX Online, passwords do not expire.

How do users reset their password?

ASX Online users are able to reset their password from a link on the Sign In page. Users are required to enter a valid email address, to which a verification email will be sent to complete the process.

Can anyone access Operating Rules of ASX without an ASX Online login?

Users without ASX Online credentials can access ASX Online to search for and view public notifications and public events. Accessing ASX Rules via ASX Online requires a valid username and password. The Operating Rules are also available on asx.com.au.

7. Subscribing to ASX System Status alerts

The function of the [system status page](#) is to provide customers with information and ongoing updates in the event of a major interruption to ASX systems or services. Customers subscribed to email or SMS alerts will be notified in the event of any system status change. Alerts will be used to direct customers to the [system status page](#) for further information and updates on the impacted systems or services. ASX Online users can subscribe to ASX System Status Alerts through the [Subscribe to ASX System Status Alerts page](#). A [user guide](#) is available to assist users with subscribing.

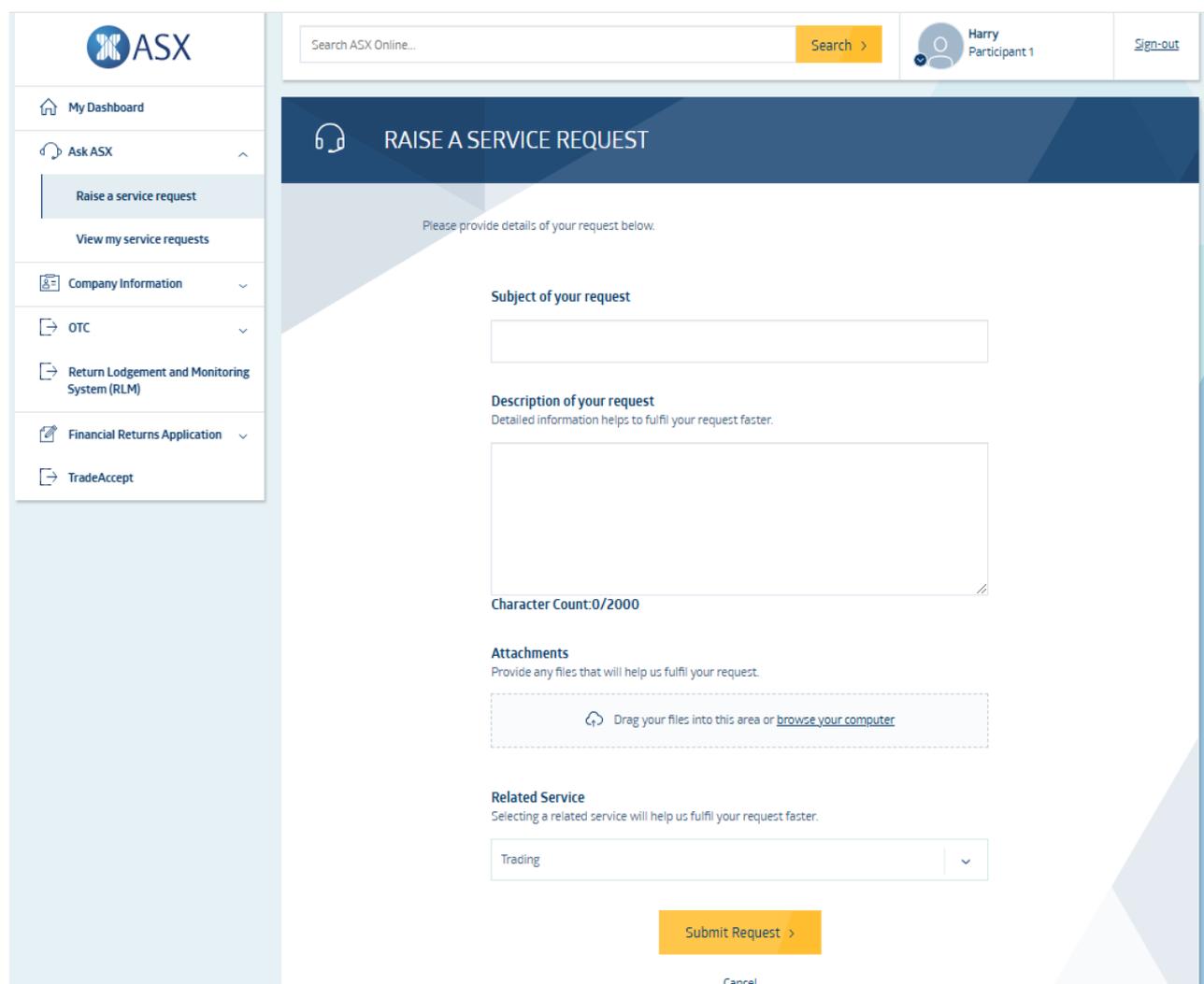
8. Raising service requests

ASX Online provides users with the ability to raise service requests (See Image 4: Raise a Service Request) under the following sub-sets:

- Trading – requests/questions will be directed to Trading Operations
- Clearing and Settlement - requests/questions will be directed to Post Trade Core Operations
- FRA – requests/questions will be directed to Counterparty Risk Assessment
- Issuer - requests/questions will be directed to Issuer Services Operations
- Technical – requests/questions will be directed to Customer Technical Support

All ASX Online users can raise a service request to any of the sub-sets (ASX departments) identified above.

Image 4: Raise a service request



The screenshot shows the ASX Online interface for raising a service request. At the top, there is a search bar and a user profile for 'Harry Participant 1' with a 'Sign-out' link. The main content area is titled 'RAISE A SERVICE REQUEST' and contains the following sections:

- Subject of your request:** A text input field.
- Description of your request:** A larger text area with a character count of 0/2000. Below the text area is a note: 'Detailed information helps to fulfil your request faster.'
- Attachments:** A section with the instruction 'Provide any files that will help us fulfil your request.' Below this is a dashed box containing a refresh icon and the text 'Drag your files into this area or [browse your computer](#)'.
- Related Service:** A dropdown menu with 'Trading' selected. Below the dropdown is a note: 'Selecting a related service will help us fulfil your request faster.'

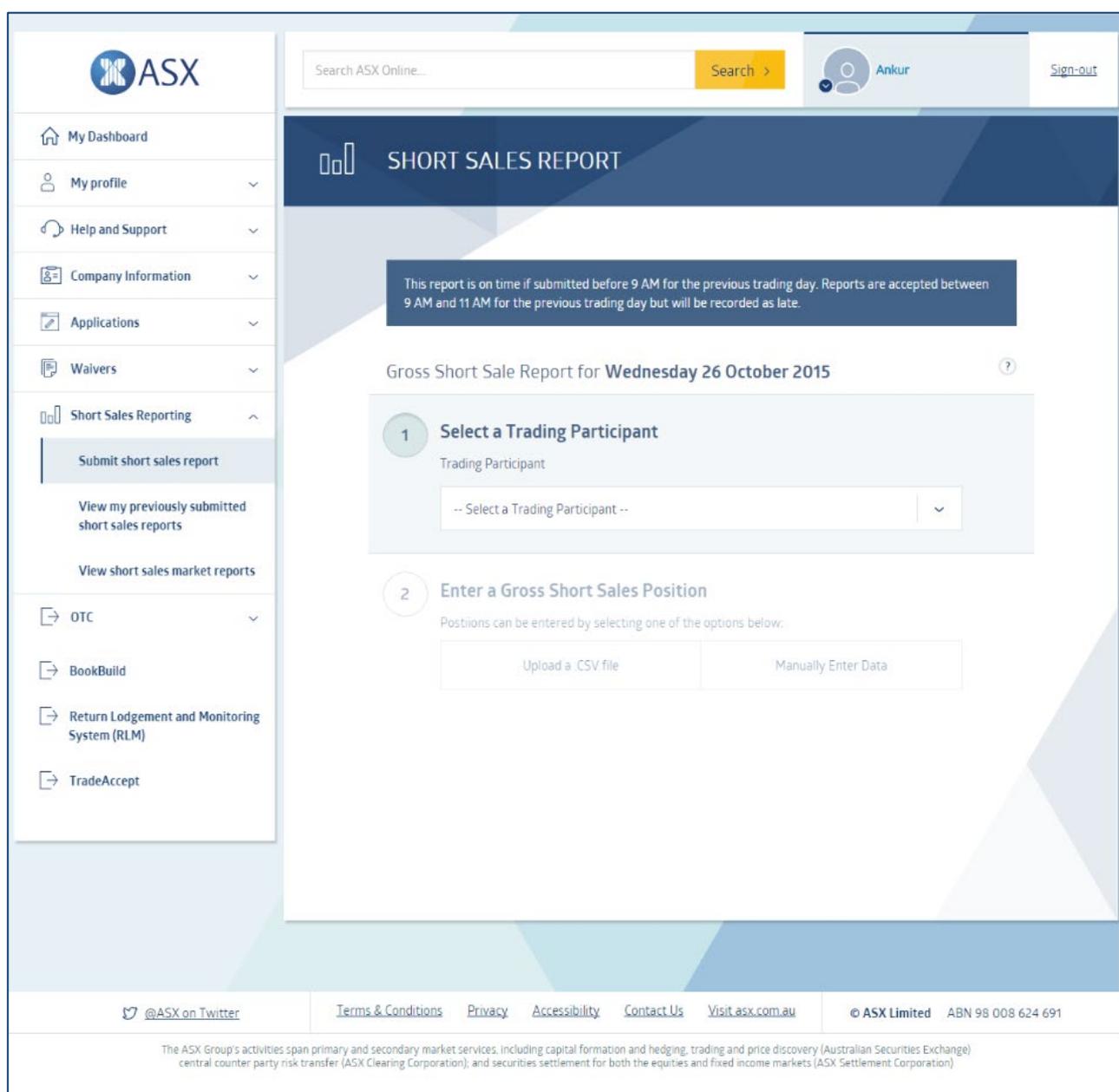
At the bottom of the form, there is a yellow 'Submit Request >' button and a 'Cancel' link.

9. Short Sales and Security Lending Reporting

How can I lodge a Short Sales Report?

Lodging a Short Sales Report is a simple and intuitive process in ASX Online. Access to the reporting function is available in the main navigation panel on the left of all ASX Online pages. Reporting Short Sales can either be completed by uploading a .CSV file or manually uploading the data, as is the case today when lodging Short Sales reports.

Image 5: Submit Short Sales Report



The screenshot shows the ASX Online interface for submitting a Short Sales Report. The page title is "SHORT SALES REPORT". A notice at the top states: "This report is on time if submitted before 9 AM for the previous trading day. Reports are accepted between 9 AM and 11 AM for the previous trading day but will be recorded as late." The main content area displays a "Gross Short Sale Report for Wednesday 26 October 2015". The process is divided into two steps:

- 1. Select a Trading Participant**: This step involves selecting a trading participant from a dropdown menu labeled "Trading Participant". The current selection is "-- Select a Trading Participant --".
- 2. Enter a Gross Short Sales Position**: This step involves entering the position by selecting one of the options below: "Upload a CSV file" or "Manually Enter Data".

The footer contains the following information:

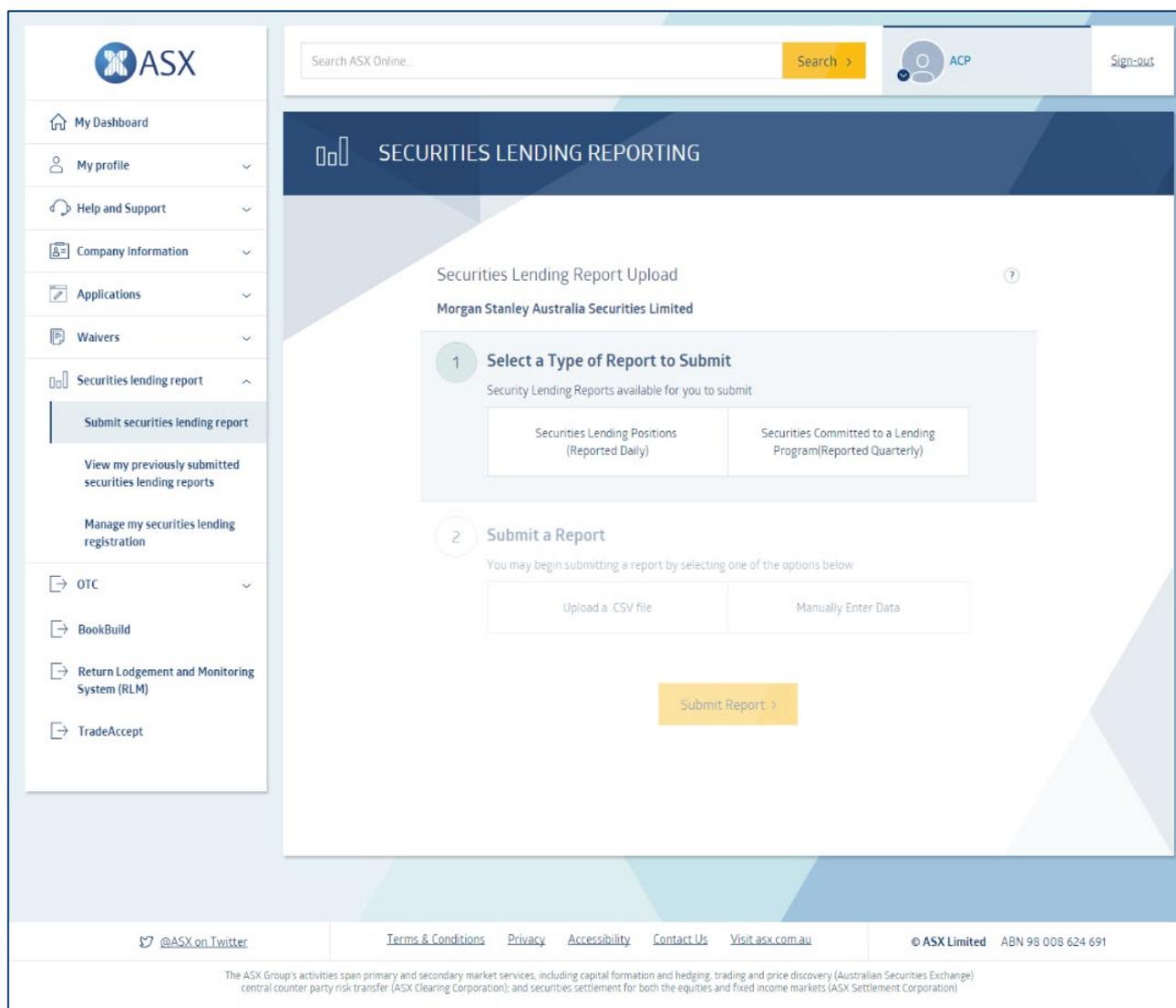
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The ASX Group's activities span primary and secondary market services, including capital formation and hedging, trading and price discovery (Australian Securities Exchange) central counter party risk transfer (ASX Clearing Corporation), and securities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

How can I lodge a Securities Lending Report?

Lodging a Securities Lending Report is a simple and intuitive process in ASX Online. Access to the reporting function is available in the main navigation panel on the left of all ASX Online pages. Reporting Securities Lending can either be completed by uploading a .CSV file or manually uploading the data.

Image 6: Submit Securities Lending Report



The screenshot displays the ASX Online interface for submitting a Securities Lending Report. The top navigation bar includes the ASX logo, a search bar, and user information (ACP) with a sign-out option. The left-hand navigation menu lists various services, with 'Securities lending report' expanded to show 'Submit securities lending report', 'View my previously submitted securities lending reports', and 'Manage my securities lending registration'. The main content area is titled 'SECURITIES LENDING REPORTING' and 'Securities Lending Report Upload' for 'Morgan Stanley Australia Securities Limited'. It features a two-step process:

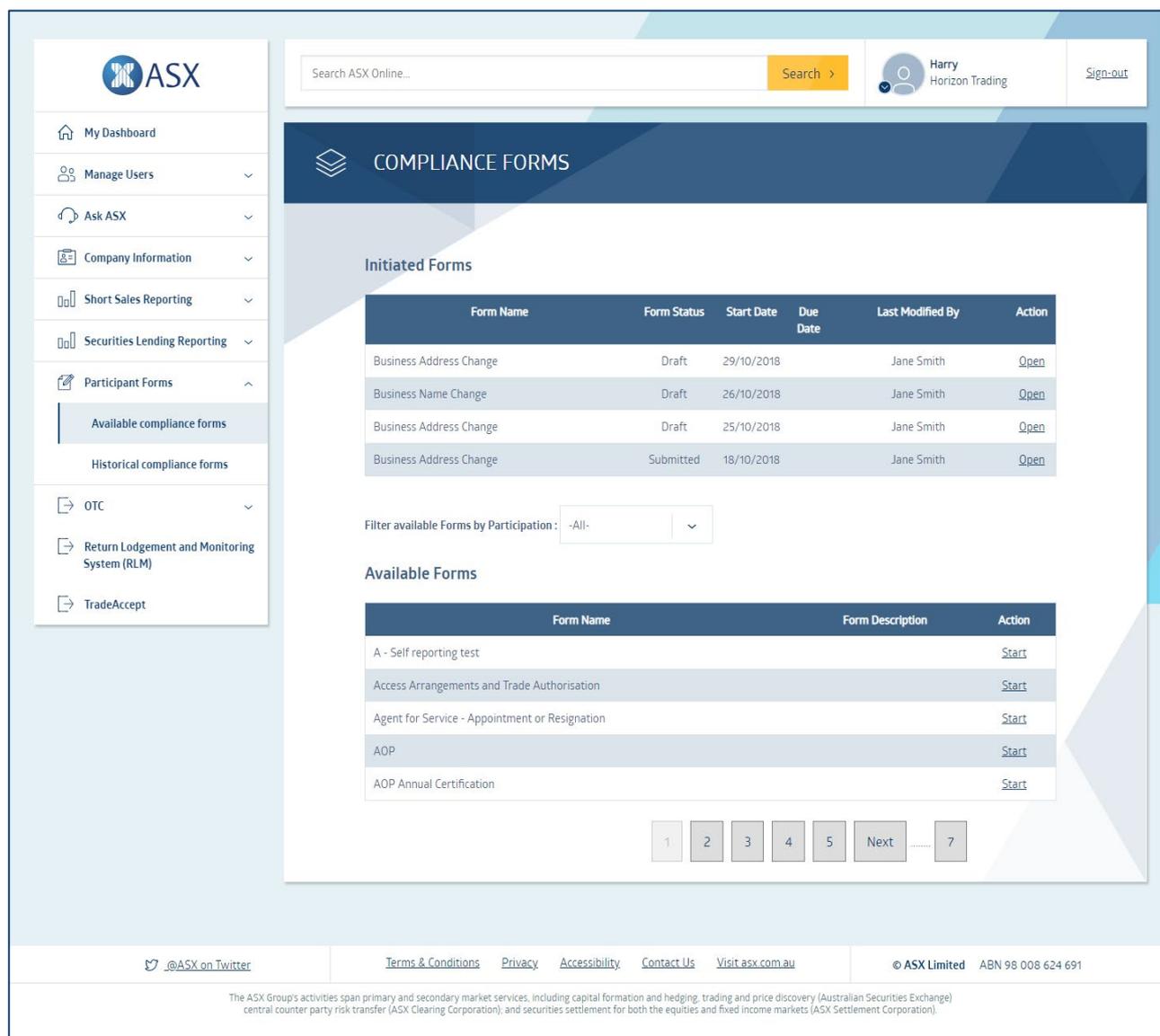
- 1. Select a Type of Report to Submit**: Security Lending Reports available for you to submit.
 - Securities Lending Positions (Reported Daily)
 - Securities Committed to a Lending Program (Reported Quarterly)
- 2. Submit a Report**: You may begin submitting a report by selecting one of the options below.
 - Upload a .CSV file
 - Manually Enter Data

A 'Submit Report >' button is located at the bottom of the main content area. The footer contains social media links, legal terms, and contact information for ASX Limited (ABN 98 008 624 691).

10. Compliance forms

Participant compliance forms are now integrated in ASX Online, replacing the previous ASX Compliance Monitor website. Enterprise Administrators can provide access to view, edit or approve these forms for their ASX Online users via applying permissions to the roles, Form viewer; Form editor; and Form approver respectively. A specific [user guide for Participant compliance forms](#) is available on ASX Online.

Image 7: Participant forms



COMPLIANCE FORMS

Initiated Forms

Form Name	Form Status	Start Date	Due Date	Last Modified By	Action
Business Address Change	Draft	29/10/2018		Jane Smith	Open
Business Name Change	Draft	26/10/2018		Jane Smith	Open
Business Address Change	Draft	25/10/2018		Jane Smith	Open
Business Address Change	Submitted	18/10/2018		Jane Smith	Open

Filter available Forms by Participation :

Available Forms

Form Name	Form Description	Action
A - Self reporting test		Start
Access Arrangements and Trade Authorisation		Start
Agent for Service - Appointment or Resignation		Start
AOP		Start
AOP Annual Certification		Start

1 2 3 4 5 Next 7

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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).

11. Financial Returns Application (FRA) - for clearing participants and applicants only

All non-bank clearing participants must use FRA to prepare and lodge financial information required under the ASX Clear and ASX Clear (Futures) Operating Rules. Enterprise Administrators can provide access to FRA by applying permissions to the roles FRA Form Editor and/or FRA Form Authoriser.

Enterprise Administrators must only assign the role of FRA Form Authoriser to company directors of the participant. This is because only directors are permitted to authorise the financial returns required under the Operating Rules. A user can be assigned both FRA roles if they are a director.

Enterprise Administrators must immediately remove a user’s access to the FRA Form Authoriser role if the user resigns as a company director.

Submission of a financial return authorised by a person who was not a company director at that time may result in disciplinary action being taken against the participant.

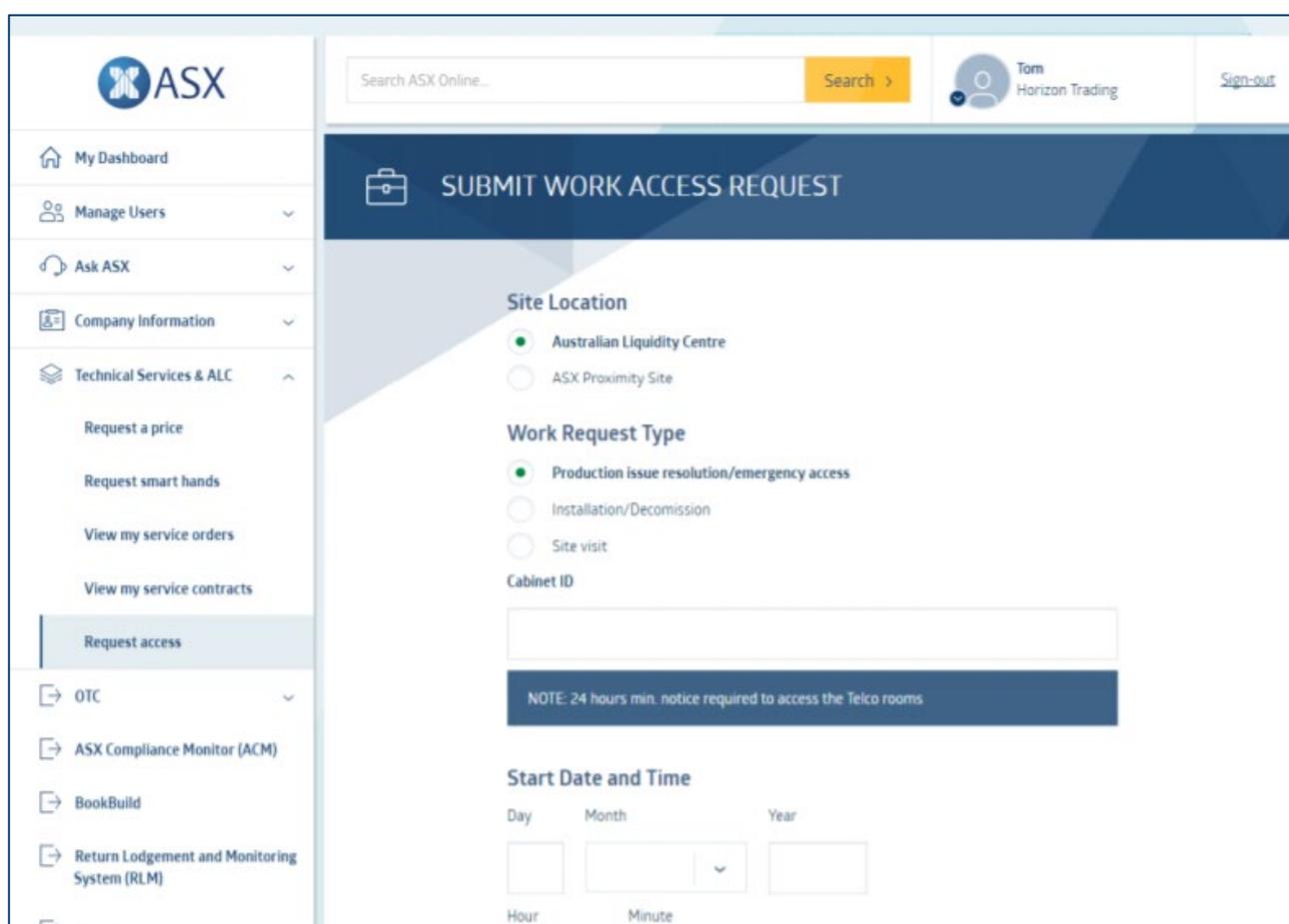
A user guide specifically for FRA will be made available on [ASX Online](#).

12. Requesting ALC Access and Ordering Technical Services

How do I request access to the ALC?

Submitting a Work Access Request is a simple and intuitive process ASX Online. Access to the request function is available in the main navigation panel on the left of all ASX Online pages (See Image 8: Submit Work Access Request). Simply choose the Site Location, Work Request Type, Date and Time, Short description of the activity and the details of the team member/s requiring access.

Image 8: Submit Work Access Request



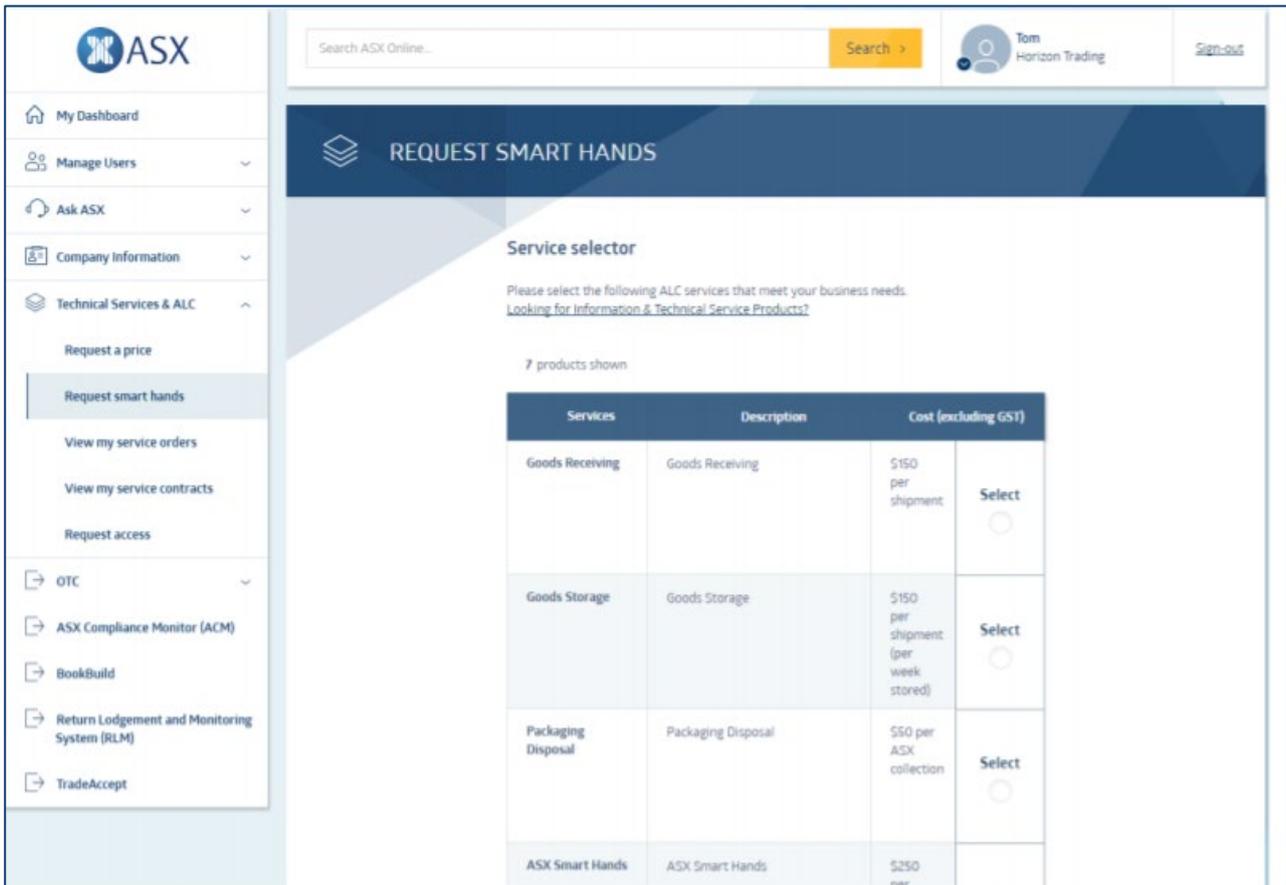
The screenshot shows the 'SUBMIT WORK ACCESS REQUEST' page in the ASX Online system. The left-hand navigation menu includes options like 'My Dashboard', 'Manage Users', 'Ask ASX', 'Company Information', 'Technical Services & ALC', and 'Request access'. The main content area is titled 'SUBMIT WORK ACCESS REQUEST' and contains the following sections:

- Site Location:** Radio buttons for 'Australian Liquidity Centre' (selected) and 'ASX Proximity Site'.
- Work Request Type:** Radio buttons for 'Production issue resolution/emergency access' (selected), 'Installation/Decommission', and 'Site visit'.
- Cabinet ID:** A text input field.
- NOTE:** A blue banner stating '24 hours min. notice required to access the Telco rooms'.
- Start Date and Time:** Input fields for Day, Month, Year, Hour, and Minute.

How do I request Smart Hands?

A range of Smart Hands and associated specialist services can be ordered directly from ASX Online. Access to the request function is available in the main navigation panel on the left of all ASX Online pages (See Image 9: Request Smart Hands).

Image 9: Request Smart Hands



REQUEST SMART HANDS

Service selector

Please select the following ALC services that meet your business needs.
[Looking for Information & Technical Service Products?](#)

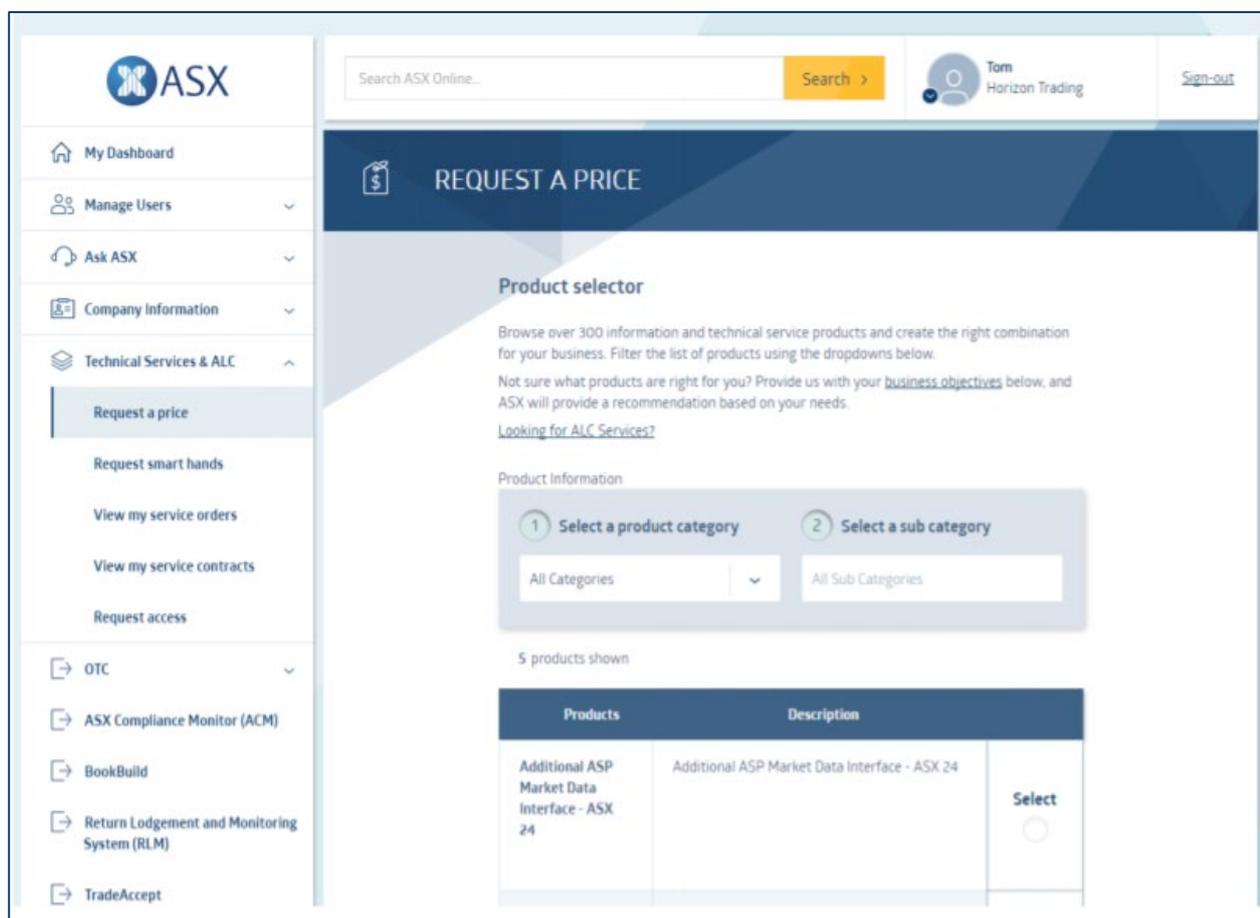
7 products shown

Services	Description	Cost (excluding GST)	Select
Goods Receiving	Goods Receiving	\$150 per shipment	<input type="radio"/>
Goods Storage	Goods Storage	\$150 per shipment (per week stored)	<input type="radio"/>
Packaging Disposal	Packaging Disposal	\$50 per ASX collection	<input type="radio"/>
ASX Smart Hands	ASX Smart Hands	\$250 per	<input type="radio"/>

How do I request a price?

Requesting a quote for technical services such as a cross connect or a new gateway is now possible via ASX Online and you can choose from over 300 information and technical service products, allowing you to create the right combination for your business needs. Access to the request function is available in the main navigation panel on the left of all ASX Online pages (See Image 10: Request a price). Simply select the products and services you require and then request a price.

Image 10: Request a price



REQUEST A PRICE

Product selector

Browse over 300 information and technical service products and create the right combination for your business. Filter the list of products using the dropdowns below.

Not sure what products are right for you? Provide us with your [business objectives](#) below, and ASX will provide a recommendation based on your needs.

[Looking for ALC Services?](#)

Product Information

1 Select a product category 2 Select a sub category

All Categories All Sub Categories

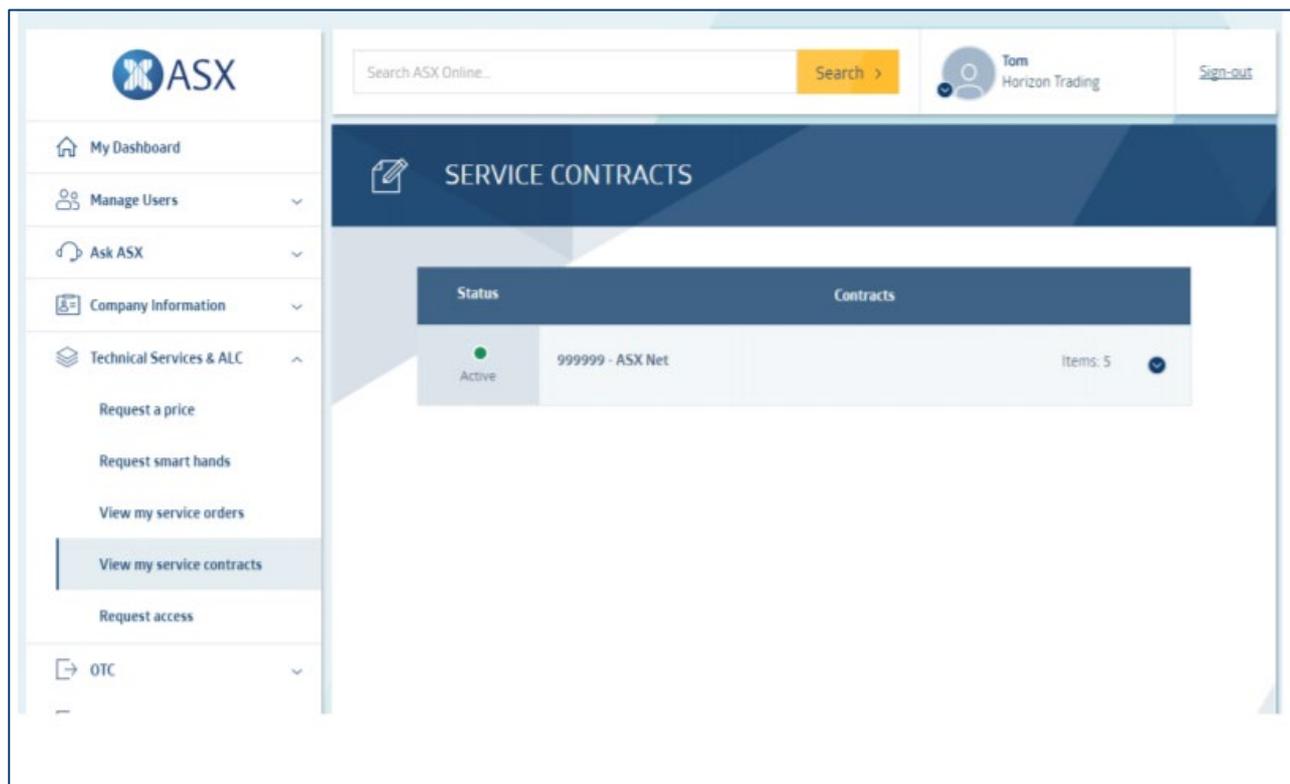
5 products shown

Products	Description	
Additional ASP Market Data Interface - ASX 24	Additional ASP Market Data Interface - ASX 24	Select <input type="radio"/>

How can I review my existing Service Contracts?

Details of existing service contacts are also available to be viewed in ASX Online. (See Image 11: Service Contracts). Using this Service Contract feature will allow you to view a list of all of your ASX Information and Technical Services product subscriptions.

Image 11: Service Contracts



13. Access to other ASX websites and applications

Existing users of Trade Accept and the OTC suite (including Trade Accept, Margin Control, Static Data Portal, Margin Simulator and FlexClear) can access these websites via the left-hand navigation menu in ASX Online.

Participants will need to contact CTS to establish new users in these websites or to request a password reset.

14. Where can I access further information?

Please contact ASX Customer Technical Support team:

- cts@asx.com.au
- 1800 663 053 or +61 2 9227 0372.

Appendix A – All 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
- Forms viewer
- Forms editor
- Forms approver
- FRA form editor
- FRA form authoriser

Technical Services

- Standard User
- Enterprise Administrator
- Tech Authorised
- Request a Price
- Work Access Request
- Request Smart Hands
- View my Orders
- View my Service Contracts

Credential Services

- Standard User
- Enterprise Administrator
- CHES – Non-Prod
- CHES – Prod