



ASX

## ASX TradeAccept

### User Manual

# Off Market Trade Reporting System



## Table of Contents

<b>1. INTRODUCTION .....</b>	<b>4</b>
1.1. WHO IS THIS USER MANUAL FOR? .....	4
<b>2. SETUP AND ACCESS .....</b>	<b>5</b>
2.1. SYSTEM SETUP .....	5
2.2. ADMINISTRATOR SETUP .....	5
2.3. PARTICIPANT CLIENT USER SETUP .....	5
2.4. ACCESSING ASX TRADEACCEPT .....	5
2.5. SESSION TIMEOUT .....	6
2.6. CHANGING YOUR PASSWORD .....	6
<b>3. ADMINISTRATION FUNCTIONALITIES .....</b>	<b>7</b>
3.1. SEARCH FOR USERS .....	7
3.2. CREATING A NEW USER .....	7
3.3. EDITING USER .....	8
<b>4. TRADING FUNCTIONALITIES .....</b>	<b>9</b>
4.1. BLOCK TRADES .....	9
4.1.1. <i>Block Trade Registration Process</i> .....	9
4.1.1.1. Creating a Block Trade .....	9
4.1.1.2. Seller Approval of a Block Trade .....	10
4.1.1.3. Buyer Submission of a Block Trade .....	10
4.1.1.4. Buyer Approval of a Block Trade .....	11
4.2. EFP TRADES .....	12
4.2.1. <i>Creating, Submitting and Approving EFP Trades</i> .....	12
4.2.1.1. Creating an EFP .....	12
4.2.1.1. Seller Approval of an EFP .....	14
4.2.1.2. Buyer Submission of an EFP .....	15
4.2.1.1. Buyer Approval of an EFP .....	16
4.2.2. <i>Bulk Uploading EFPs</i> .....	16
4.2.2.1. Uploading a Bond EFP File .....	17
4.2.2.1. Uploading a Swap EFP File .....	17
4.3. TELEPHONE TRADES .....	18
4.3.1. <i>How to Create, Submit and Approve</i> .....	18
4.3.1.1. Creating, Submitting and Approving Telephone Trades .....	18
4.3.1.2. Seller Approval of a Telephone Trade .....	19
4.3.1.3. Buyer Submission of a Telephone Trade .....	19
4.3.1.4. Buyer Approval of a Telephone Trade .....	20
4.4. TRADE CANCELLATION/REPLACEMENT .....	21
4.4.1. <i>Cancel a Trade</i> .....	21
4.4.2. <i>All Trades–Approve Cancellation (Counterparty)</i> .....	22
<b>5. FREQUENTLY ASKED QUESTIONS .....</b>	<b>23</b>
5.1. HOW LONG DOES IT TAKE TO RECEIVE DIGITAL CERTIFICATE CREDENTIALS? .....	23
5.2. WHAT IF I ENTER THE INCORRECT PASSWORD THREE TIMES IN A ROW? .....	23
5.3. IF I CHANGE MY ASX ONLINE PASSWORD HOW LONG DOES IT TAKE TO TAKE EFFECT? .....	23
5.4. DO I HAVE TO ACCEPT THE TERMS OF USE TO USE ASX TRADEACCEPT? .....	23
5.5. WHY DO THE CONTRACT SERIES CODES LOOK DIFFERENT TO SFEIN? .....	23
<b>6. HELPDESK SUPPORT DETAILS .....</b>	<b>24</b>
6.1. ASX CUSTOMER SERVICE (ASX ONLINE HELPDESK SUPPORT) .....	24
6.2. ASX 24 TRADING OPERATIONS DESK .....	24
<b>APPENDIX A. STATUS DEFINITIONS .....</b>	<b>25</b>
A.1. DEAL STATUS DEFINITIONS .....	25
A.2. CANCELLATION STATUS DEFINITIONS .....	25
<b>APPENDIX B. CONTRACT SERIES MAPPING .....</b>	<b>26</b>
<b>APPENDIX C. TROUBLESHOOTING .....</b>	<b>27</b>

C.1.	BROWSER-RELATED ISSUES .....	27
C.1.1.	<i>HTTP 403 Forbidden Issue</i> .....	27
C.1.2.	<i>JavaScript Issue</i> .....	27
C.2.	TRADE INPUT ISSUES .....	28
C.2.1.	<i>Back button does not work</i> .....	28
C.2.2.	<i>Opening the application in two different browser windows logs onto the same session</i> .....	28
C.2.3.	<i>Error when uploading a basket grid file</i> .....	29
C.2.4.	<i>Can't input a trade date of the next trading day</i> .....	29
C.2.5.	<i>"Add Leg" button unresponsive in the "Create New Block Trade" screen</i> .....	29
C.2.6.	<i>When updating the buy/sell firm of a block trade, error 93003001 occurs</i> .....	29
C.2.7.	<i>If my firm is both seller and buyer, why can't I enter the buy client details immediately for EFP and Telephone trades?</i> .....	29
C.2.8.	<i>Can I submit a trade on a public holiday?</i> .....	29
C.2.9.	<i>I have been editing or viewing a trade and then encounter a message saying "Error: Access Denied" when I submit changes</i> .....	30

## **1. Introduction**

ASX TradeAccept is a web based system for the registration of ASX 24 off-market trades Exchange For Physicals (EFP), Block Trades and Telephone Trades.

### **1.1. Who is this User Manual for?**

The ASX TradeAccept User Manual has been written for Participant users of the ASX TradeAccept system.

Participant users of ASX TradeAccept include the following:

- Participant Administrator User
- Participant Client User.

## 2. Setup and Access

### 2.1. System Setup

To access ASX TradeAccept, the following system requirements apply:

- Internet Explorer 7, 8 or 9.
- JavaScript enabled browser
- ActiveX Controls set to “Enabled”
- Onsite MSI package installed for Windows XP Operating System.

### 2.2. Administrator Setup

To create a ASX TradeAccept Administrator User:

1. Ensure an active ASX Online profile is created  
Contact ASX Online Helpdesk. See *6.1 ASX Customer Service (ASX Online Helpdesk Support)*.
2. Complete, scan and email the [ASX TradeAccept – Participant Administration User Request form](#) to: [participants.online@asx.com.au](mailto:participants.online@asx.com.au).  
The user credentials will be sent by the ASX Online Helpdesk by email.
3. Enrol and Download Digital Certificate. See [Client Side Digital Certificates User Enrolment Guide](#).
4. Confirm login at the following link: <https://asxtradeaccept.connect.asxonline.com/>.

### 2.3. Participant Client User Setup

To create a ASX TradeAccept Participant User, please follow the steps below:

1. Ensure there is an active ASX Online profile  
Contact ASX Online Helpdesk. See *6.1 ASX Customer Service (ASX Online Helpdesk Support)*.  
The user credentials will be sent by the ASX Online Helpdesk by email.
2. Create a ASX TradeAccept Participant User profile. See *3.1 Search for Users*
3. To search for a user:
  1. Open *User Management*.
  2. Input the user name in the Username field.
  3. Click *Search*.Results will appear in summary form.
4. Creating a New User.
5. Enrol and Download Digital Certificate. See [Client Side Digital Certificates User Enrolment Guide](#).
6. Confirm login at the following link: <https://asxtradeaccept.connect.asxonline.com/>.

### 2.4. Accessing ASX TradeAccept

To access ASX TradeAccept:

1. Open a browser and navigate to <https://asxtradeaccept.connect.asxonline.com/>.
2. Enter ASX Online login details.
3. Read the Terms of Use and click **I Agree** to continue.

## 2.5. Session Timeout

Session timeout and disconnection occurs after 60 minutes of inactivity. A notification is given when attempting to perform a function in ASX TradeAccept and asked to log in again.

Be aware that if the session times out, any unsaved information will be lost.

## 2.6. Changing your Password

Passwords expire every 90 days and users will be prompted by the system to enter a new password. When the password has expired, a message is displayed on the next attempt to log on to ASX TradeAccept. Users are not able to log on with an expired password.

To change your password, follow the prompts presented by the system. Be aware that the following standards apply to passwords:

- Passwords must contain characters from at least three of the following four classes:
  - English upper case letters, i.e. A-Z
  - English lower case letters, i.e. a-z
  - Numeric Values, i.e. 0-9
  - Non-alphanumeric special characters:
    - \$ (dollar sign)
    - \_ (underscore).
- Passwords may not contain the user name or any part of the user's full name
- Passwords must be at least eight characters long
- New passwords must not be the same as the previous password.

### 3. Administration Functionalities

Administrators can perform the following functions on user accounts:

- Search
- Create
- Edit.

#### 3.1. Search for Users

To search for a user:

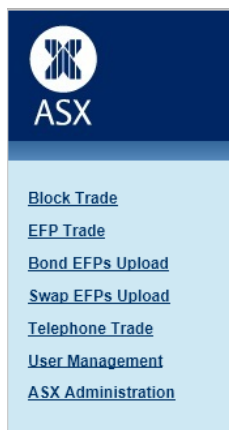
4. Open *User Management*.
5. Input the user name in the Username field.
6. Click *Search*.

Results will appear in summary form.

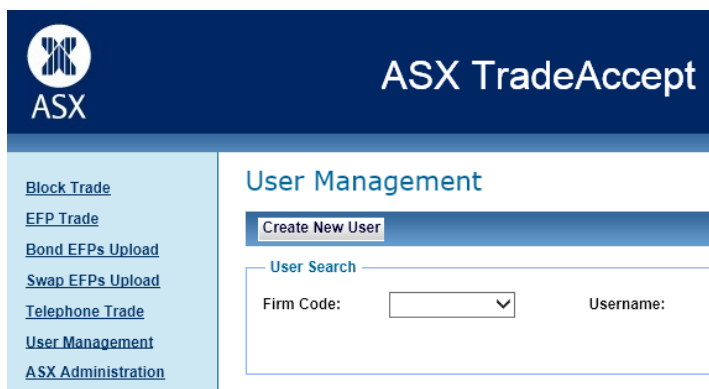
#### 3.2. Creating a New User

To create a new user:

1. Click *User Management* in the navigation panel on the left hand side of the screen.



2. Click *Create New User*.



3. Enter the ASX Online username into *AOL User Name*: and click *Search AOL Users*.

## Create New User

User Details	
AOL User Name:	<input type="text"/> <input type="button" value="Search AOL Users"/>
ASX User Name:	<input type="text"/> <input type="button" value="Search ASX Users"/>

If the username is found, a screen is displayed with details of the user.

4. Enter *Contact Number* and select *Firm Code*.
5. Nominate the user's role(s).

Interactive users can have one or more of the following roles:

- Submitter
- Approver
- Firm Administrator

Electronic users have only the *EM Role*

6. If the user requires a certificate, click *Request Certificate*.
7. Click *Create User in TA* to apply changes.

Participants have the ability to manage their own users and user privileges as well as a two eyes/four eyes user authorisation process. Users designated as both Submitter and Approver can bypass the validation requirements and send trades directly to Trading Operations.

### 3.3. Editing User

To edit an existing User:

1. Using the search function, locate the required user.
2. Click on the required participant client user in the search results.
3. Make the following changes as required:
  - Roles
  - Revoke Certificate  
This will send request to ASX Online Helpdesk
  - Enable or disable the user



## 4. Trading Functionalities

### 4.1. Block Trades

For rules regarding trading Block Trades and a list of products that may be reported via the Block Trade facility, refer to: [ASXTrade24 Operating Rules - Procedures](#).

[Minimum Block-trading thresholds](#) applicable to each leg of the trade are published on the ASX website.

#### 4.1.1. Block Trade Registration Process

The steps in registering Block Trades are as follows:

1. Creation by the Seller.
2. Approval by the Seller (If applicable).
3. Submit by the Buyer.
4. Approval by the Buyer (If applicable).

##### 4.1.1.1. Creating a Block Trade

To create a block trade the seller follows the procedure below:

Step	Action	Description	Status
1.	Click <i>Block Trade</i> on the left hand side of the screen	The Block Trade management screen is displayed	
2.	Click <i>Create Block Trade</i>	Opens template for a new Block Trade creation	
3.	Enter futures information.	The following data is required for a future: <ul style="list-style-type: none"> <li>• Exchange (defaults to <i>SFE</i>)</li> <li>• Trade Date (defaults to the current day, next trade date can be selected after 5 pm)</li> <li>• Agreement Time (must be 24 hour format)</li> <li>• Buy Firm</li> <li>• Average Price.</li> </ul>	
4.	Enter data <i>Legs</i> field in the new Block Trade template.	The following data for each block trade leg: <ul style="list-style-type: none"> <li>• Contract Name</li> <li>• Contract Type (defaults to <i>Futures</i>)</li> <li>• Contract Series (<a href="#">Contract Series mapping</a>)</li> <li>• Reg. Price (registration price)</li> <li>• No. Contracts (number of contracts)</li> <li>• Sell Firm</li> <li>• Sell Client.</li> </ul> <p>The first leg may be entered in the first row of the grid. Subsequent legs may be added by filling out the fields in the <i>New Leg</i> strip and clicking on the + sign on the far right.</p>	
5.	Populate <i>Seller Notes</i> text field in the	Enter the following data for additional information:	

Step	Action	Description	Status
	<i>Additional Information</i> section.	Seller Notes.	
6.	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ASPO
	Click <i>Submit</i> to submit the trade	Use when the trade is to be approved by a second person in the sell firm.	ASP1A
	Click <i>Approve</i> to approve the trade	Sends the trade to the buy party for approval.	ABPO
7.	Record Trade ID Number	Note the deal number. E.g.12345	ABPO

#### 4.1.1.2. **Seller Approval of a Block Trade**

A sell firm may elect to have a second person approve a trade before submitting it to the buyer. To approve a trade:

Step	Action	Description	Status
1.	Click <i>Block Trade</i> on the left hand side of the screen	The Block Trade management screen is shown.	ASP1A
2.	Click on the Block Trade Number.	Locate the row corresponding with the trade that needs to be approved. Click on the Block Trade.	ASP1A
3.	Review data	The <i>Trade View</i> screen will be displayed with details of the trade. This screen is read only. Review physical and futures details.	ASP1A
4.	Click <i>Edit</i> .	Edit as necessary.	ASP1A
5.	Enter <i>Seller Notes</i> if required		
6.	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ASP1A
	Click <i>Approve</i> to approve the trade	Sends the trade to the buy party for approval.	ABPO
	Click <i>Reject</i> to reject the trade	Use to reject a trade. A prompt will be ask for a rejection reason. Select the reason from the drop-down list. If you choose <i>Other</i> , add some text in the <i>Explanation</i> field to explain why the trade is being rejected.	RsBPO

#### 4.1.1.3. **Buyer Submission of a Block Trade**

Once a trade has been fully approved by the seller, it is visible to the buyer for acceptance or rejection. To submit a trade:

Step	Action	Description	Status
1.	Click <i>Block Trade</i> on the left hand side of the screen	The Block Trade management screen is shown	ABPO

Step	Action	Description	Status
2.	Click on the Block Trade Number.	Locate the row corresponding with the trade that needs to be approved. It should be highlighted in grey. Click on the trade.	ABPO
3.	Review data	The <i>Trade View</i> screen will be displayed with details of the trade. This screen is read only. To approve or reject the trade, click on the <i>Edit</i> button.	ABPO
4.	Enter data in <i>Buy Client</i> & <i>Buyer Notes</i> Fields.	The <i>Trade Edit</i> screen will be displayed with the same details of the trade, except this time the following fields may be edited: <ul style="list-style-type: none"> <li>• Buy Client</li> <li>• Buyer Notes.</li> </ul>	ABPO
5.	Review Block Trade Information and Fields	Review physical and futures details.	ABPO
6.	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ABPO
	Click <i>Submit</i> to submit the trade	Use when the trade is to be approved by a second person in the buy firm.	ABP1A
	Click <i>Reject</i> to reject the trade	Use to reject a trade. A prompt will be ask for a rejection reason. Select the reason from the drop-down list. If you choose <i>Other</i> , add some text in the <i>Explanation</i> field to explain why the trade is being rejected.	RbBPO
	Click <i>Approve</i> to approve the trade	Sends the trade to ASX for approval.	

#### 4.1.1.4. Buyer Approval of a Block Trade

A buy firm may elect to have a second person approve a trade before submitting it to the ASX for approval. This is done as follows:

Step	Action	Description	Status
1.	Click <i>Block Trade</i> on the left hand side of the screen	The Block Trade management screen is shown	ABP1A
2.	Click on the Block Trade Number.	Locate the row corresponding with the trade that needs to be approved. It should be highlighted in grey. Click on the trade.	ABP1A
3.	Review data	The <i>Trade View</i> screen will be displayed with details of the trade. This screen is read only. To approve or reject the trade, click on the <i>Edit</i> button.	ABP1A
4.	Enter details in <i>Buy Client</i> and <i>Buyer Notes</i> fields.	The <i>Trade Edit</i> screen will be displayed with the same details of the trade, except this time the following fields may be edited: <ul style="list-style-type: none"> <li>• Buy Client</li> <li>• Buyer Notes.</li> </ul>	ABP1A
5.	Review the <i>Physical</i> and <i>Futures</i> details of the trade.	Review physical and futures details.	ABP1A

Step	Action	Description	Status
6.	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ABP1A
	Click <i>Reject</i> to reject the trade	Use to reject a trade. A prompt will be ask for a rejection reason. Select the reason from the drop-down list. If you choose <i>Other</i> , add some text in the <i>Explanation</i> field to explain why the trade is being rejected.	RbBPO
	Click <i>Approve</i> to approve the trade	Sends the trade to ASX for approval.	

## 4.2. EFP Trades

Please refer to the [ASX 24 Operating Rules - Procedures](#) in regards to all of the EFP reporting and registration requirements.

### 4.2.1. Creating, Submitting and Approving EFP Trades

The following types of EFP can be reported using ASX TradeAccept:

- Bond
- Swap
- Other
- SPI vs XJO
- SPI vs Basket.

The process to report is the same for all types

#### 4.2.1.1. Creating an EFP

The creation of an EFP is the same for all types; the only difference is the information entered for the physical component of the trade.

Step	Action	Description	Status
1.	Click <i>EFP Trade</i> on the left hand side of the screen	The EFP Trade management screen is displayed	
2.	Click on one of the following to create the type of EFP being reported: <ul style="list-style-type: none"> <li>• Create Bond</li> <li>• Create Swap</li> <li>• Create Other</li> <li>• Create SPI v XJO</li> <li>• Create SPI v Basket</li> </ul>	The EFP Trade entry screen is shown	
3.	Enter details about the future	The following data can be entered for futures: <ul style="list-style-type: none"> <li>• Exchange (defaults to <i>SFE</i>)</li> </ul>	

Step	Action	Description	Status
		<ul style="list-style-type: none"> <li>• Trade Date (defaults to the current day, next trade date can be selected after 5 pm)</li> <li>• Agreement Time (must be 24 hour format)</li> <li>• Buy Firm</li> <li>• Sell Client</li> <li>• Contract Type</li> <li>• Contract Name</li> <li>• Contract Series (<a href="#">Contract Series mapping</a>)</li> <li>• No. Contracts</li> <li>• Registration Price</li> <li>• Delta Value (Options only)</li> <li>• Comments.</li> </ul>	
4.	Enter details about the future. See below the data required for each type		
5.		<p><b>Bond EFP:</b></p> <ul style="list-style-type: none"> <li>• Settlement Date</li> <li>• Market Yield</li> <li>• Face Value</li> <li>• Type of Security</li> <li>• Coupon Rate</li> <li>• Coupon Frequency</li> <li>• Security Details</li> <li>• Maturity Date</li> </ul> <p><b>Swap EFP:</b></p> <ul style="list-style-type: none"> <li>• Start Date</li> <li>• Maturity Date</li> <li>• Face Value</li> <li>• Floating Rate</li> <li>• Fixed Rate</li> <li>• Frequency</li> <li>• ASX Cleared</li> </ul> <p><b>Other EFP:</b></p> <ul style="list-style-type: none"> <li>• Face Value</li> <li>• Commodity Details</li> </ul> <p><b>SPI v XJO:</b></p> <ul style="list-style-type: none"> <li>• Average Delta Value</li> <li>• XJO legs (up to four). Enter the first leg by filling in the empty fields next to Leg Number 1. Add any additional legs by filling in the fields next to <i>New Leg</i> and clicking on the + sign.</li> <li>• The following fields apply: <ul style="list-style-type: none"> <li>• ASX Trade Slip Number</li> <li>• Price</li> <li>• Strike Price</li> </ul> </li> </ul>	

Step	Action	Description	Status
		<ul style="list-style-type: none"> <li>Volume</li> <li>Expiry Year</li> <li>Expiry Month</li> <li>Put/Call</li> </ul> <p>To remove a leg, click on the red cross next to the appropriate leg.</p> <p>Note: The <i>Buy Client</i> field will be automatically populated with the contents of the futures <i>Sell Client</i> field.</p>	
		<p><b>SPI v Basket</b></p> <p>The basket is entered in a CSV file with the following columns:</p> <ul style="list-style-type: none"> <li>Stock Code</li> <li>Price</li> <li>Volume.</li> </ul> <p>A template can be downloaded by clicking on <i>Download Template</i>.</p> <p>Use <i>Browse...</i> to select the file to be uploaded from your computer.</p> <p>Once selected, click on <i>Upload</i> to load the file into ASX TradeAccept.</p> <p>Review the basket by clicking on <i>View Basket</i>.</p>	
6.	Enter data in <i>Seller Notes</i> field.		
7.	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ASPO
	Click <i>Submit</i> to submit the trade	Use when the trade is to be approved by a second person in the sell firm.	ASP1A
	Click <i>Approve</i> to approve the trade	Sends the trade to the buy party for approval.	ABPO

#### 4.2.1.1. Seller Approval of an EFP

A sell firm may elect to have a second person approve a trade before submitting it to the buyer. This is done as follows:

Step	Action	Description	Status
1.	Click <i>EFP Trade</i> on the left hand side of the screen	The EFP Trade management screen is shown	
2.	Locate trade	Locate the row corresponding with the trade that needs to be approved. It should be highlighted in grey. Click on the trade.	ASP1A
3.	View trade	The <i>Trade View</i> screen will be displayed with details of the trade. This screen is read only. To approve or reject the trade, click <i>Edit</i> .	ASP1A
4.	Enter data in <i>Seller Notes</i> field.		ASP1A

Step	Action	Description	Status
5.	Review the <i>Physical</i> and <i>Futures</i> details of the trade.	Review physical and futures details.	ASP1A
6.	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ASP1A
	Click <i>Approve</i> to approve the trade	Sends the trade to the buy party for approval.	ABPO
	Click <i>Reject</i> to reject the trade	Use to reject a trade. A prompt will be ask for a rejection reason. Select the reason from the drop-down list. If you choose <i>Other</i> , add some text in the <i>Explanation</i> field to explain why the trade is being rejected.	RsBPO

#### 4.2.1.2. Buyer Submission of an EFP

Once a trade has been fully approved by the seller, it is visible to the buyer for acceptance or rejection.

Step	Action	Description	Status
1.	Click <i>EFP Trade</i> on the left hand side of the screen	The EFP Trade management screen is shown	
2.	Locate trade	Locate the row corresponding with the trade that needs to be approved. It should be highlighted in grey. Click on the trade.	ABPO
3.	View trade	The <i>Trade View</i> screen will be displayed with details of the trade. This screen is read only. To approve or reject the trade, click <i>Edit</i> .	ABPO
4.	Enter data in <i>Buy Client</i> & <i>Buyer Notes</i> fields.	The <i>Trade Edit</i> screen will be displayed with the same details of the trade, except this time the following fields may be edited: <ul style="list-style-type: none"> <li>Buy Client</li> <li>Buyer Notes.</li> </ul>	ABPO
5.	Review the <i>Physical</i> and <i>Futures</i> details of the trade.	Review physical and futures details.	ABPO
6.	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ABPO
	Click <i>Submit</i> to submit the trade	Use when the trade is to be approved by a second person in the buy firm.	ABP1A
	Click <i>Reject</i> to reject the trade	Use to reject a trade. A prompt will be ask for a rejection reason. Select the reason from the drop-down list. If you choose <i>Other</i> , add some text in the <i>Explanation</i> field to explain why the trade is being rejected.	RbBPO
	Click <i>Approve</i> to approve the trade	Sends the trade to ASX for approval.	

### 4.2.1.1. Buyer Approval of an EFP

A buy firm may elect to have a second person approve a trade before submitting it to the ASX for approval. This is done as follows:

Step	Action	Description	Status
1.	Click <i>EFP Trade</i> on the left hand side of the screen	The EFP Trade management screen is shown	ABP1A
2.	Locate trade	Locate the row corresponding with the trade that needs to be approved. It should be highlighted in grey. Click on the trade.	ABP1A
3.	View trade	The <i>Trade View</i> screen will be displayed with details of the trade. This screen is read only. To approve or reject the trade, click <i>Edit</i> .	ABP1A
4.	Enter data in <i>Buy Client &amp; Buyer Notes</i> fields.	The <i>Trade Edit</i> screen will be displayed with the same details of the trade, except this time the following fields may be edited: <ul style="list-style-type: none"> <li>Buy Client</li> <li>Buyer Notes.</li> </ul>	ABP1A
5.	Review the <i>Physical</i> and <i>Futures</i> details of the trade.	Review physical and futures details.	ABP1A
6.	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ABP1A
	Click <i>Reject</i> to reject the trade	Use to reject a trade. A prompt will be ask for a rejection reason. Select the reason from the drop-down list. If you choose <i>Other</i> , add some text in the <i>Explanation</i> field to explain why the trade is being rejected.	RbBPO
	Click <i>Approve</i> to approve the trade	Sends the trade to ASX for approval.	

### 4.2.2. Bulk Uploading EFPs

The file upload solution provides users entering Sell EFPs to load multiple Bond EFPs and Swap EFPs into ASX TradeAccept. Bond EFPs and Swap EFPs need to be uploaded in ASX TradeAccept in **separate** csv files and in a format defined by the ASX.

Copies of the csv file templates may be downloaded from ASX TradeAccept by clicking on *Download Template* in the respective Bond EFPs Upload and SWAP EFPs Upload page.

EFP Bond Bulk Upload : Sell Party Transaction Details

Please upload the BondEFPsUpload grid.

Trade Count:

Upload BondEFPsUpload:



**Note:**

Between 12am to 7pm, only trades with current trade date may be uploaded.

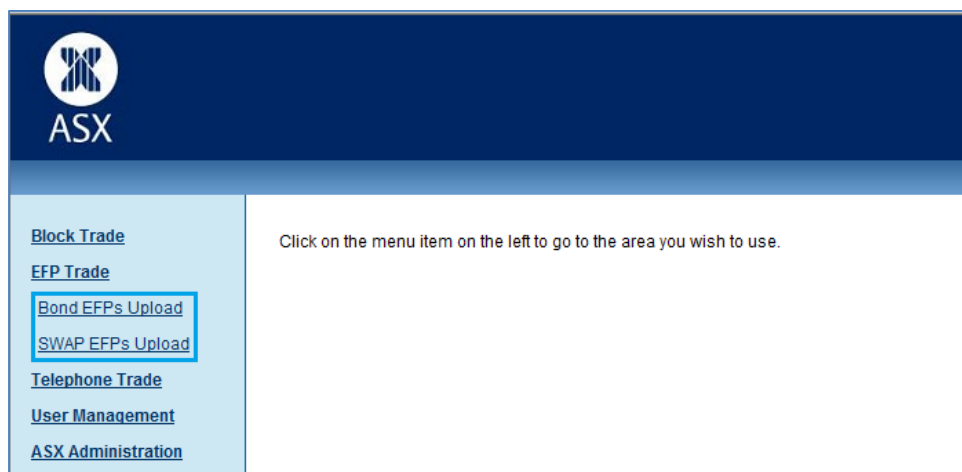


**Note:**

Between 7pm to 12am (next day), file uploads will **not** be allowed.



Upon login to ASX TradeAccept, the user will select the respective file upload option on the left of the screen:



#### 4.2.2.1. **Uploading a Bond EFP File**

The following steps detail how a seller uploads a bond EFP file.

Step	Action	Description	Status
1.	Click <i>Bond EFPs Upload</i> on the left hand side of the screen.	The EFP Bond Bulk Upload management screen is displayed.	
2.	Click <i>Browse</i>	Navigate to the location of the Bond Upload file. Select the file and click on the <i>Open</i> button. Selection made appears in the <i>Upload BondEFPsUpload</i> field.	
3.	Click <i>Upload</i>	Records in the file will be uploaded provided all records pass validation. Should any record fail validation, the entire file will be rejected.	
4.	Select one of the following actions:		
	Click <i>Save</i> to save the trades	Use when trades is <b>not</b> yet ready to be sent to the next person in the workflow.	ASPO
	Click <i>Submit</i> to submit the trades	Use when trades are to be approved by a second person in the sell firm.	ASP1A
	Click <i>Approve</i> to approve the trades	Sends trades to the buy party for approval.	ABPO
	Click <i>Close</i> to abort the upload	Trades are not uploaded	

#### 4.2.2.1. **Uploading a Swap EFP File**

The following steps detail how a seller uploads a swap EFP file.

Step	Action	Description	Status
1.	Click <i>Swap EFPs Upload</i> on the left hand side of the screen.	The EFP Swap Bulk Upload management screen is displayed.	

Step	Action	Description	Status
2.	Click <i>Browse</i>	Navigate to the location of the swap Upload file. Select the file and click on the <i>Open</i> button. Selection made appears in the <i>Upload SwapEFPsUpload</i> field.	
3.	Click <i>Upload</i>	Records in the file will be uploaded provided all records pass validation. Should any record fail validation, the entire file will be rejected.	
4.	Select one of the following actions:		
	Click <i>Save</i> to save the trades	Use when trades is <b>not</b> yet ready to be sent to the next person in the workflow.	ASPO
	Click <i>Submit</i> to submit the trades	Use when trades are to be approved by a second person in the sell firm.	ASP1A
	Click <i>Approve</i> to approve the trades	Sends trades to the buy party for approval.	ABPO
	Click <i>Close</i> to abort the upload	Trades are not uploaded	

### 4.3. Telephone Trades

ASX authorises Telephone trading for the closing out of deliverable contracts in the event of an ASX Trade24 failure during Expiry only.

#### 4.3.1. How to Create, Submit and Approve

##### 4.3.1.1. **Creating, Submitting and Approving Telephone Trades**

A seller creates a telephone trade as follows:

Step	Action	Description	Status
1.	Click <i>Telephone Trade</i> on the left hand side of the screen.	The Telephone Trade management screen is displayed.	
2.	Click <i>Create Telephone Trade</i> Button	Opens template for a new Telephone Trade creation	
3.	Enter futures data.	The following details are required: <ul style="list-style-type: none"> <li>• Exchange (defaults to <i>SFE</i>)</li> <li>• Trade Date (defaults to the current day, next trade date can be selected after 5 pm)</li> <li>• Agreement Time (must be 24 hour format)</li> <li>• Buy Firm</li> <li>• Sell Client</li> <li>• Contract Name</li> <li>• Contract Series (<a href="#">Contract Series mapping</a>)</li> <li>• No. Contracts</li> <li>• Registration Price</li> <li>• Delta Value</li> <li>• Comments</li> </ul>	

Step	Action	Description	Status
4.	Populate <i>Seller Notes</i> text field in the <i>Additional Information</i> section.		
	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ASPO
	Click <i>Submit</i> to submit the trade	Use when the trade is to be approved by a second person in the sell firm.	ASP1A
	Click <i>Approve</i> to approve the trade	Sends the trade to the buy party for approval.	ABPO

#### 4.3.1.2. **Seller Approval of a Telephone Trade**

A sell firm may elect to have a second person approve a trade before submitting it to the buyer. This is done as follows:

Step	Action	Description	Status
1.	Click <i>Telephone Trade</i> on the left hand side of the screen.	The Telephone Trade management screen is displayed.	ASP1A
2.	Click on the Telephone Trade Number.	Locate the row corresponding with the trade that needs to be approved. Click on the Telephone Trade.	ASP1A
3.	Review data	The <i>Trade View</i> screen will be displayed with details of the trade. This screen is read only. Review physical and futures details.	ASP1A
4.	Click <i>Edit</i> .	Edit as necessary.	ASP1A
5.	Enter <i>Seller Notes</i> if required		
6.	Select one of the following actions:		
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ASP1A
	Click <i>Approve</i> to approve the trade	Sends the trade to the buy party for approval.	ABPO
	Click <i>Reject</i> to reject the trade	Use to reject a trade. A prompt will be ask for a rejection reason. Select the reason from the drop-down list. If you choose <i>Other</i> , add some text in the <i>Explanation</i> field to explain why the trade is being rejected.	RsBPO

#### 4.3.1.3. **Buyer Submission of a Telephone Trade**

Once a trade has been fully approved by the seller, it is visible to the buyer for acceptance or rejection.

Step	Action	Description	Status
1.	Click <i>Telephone Trade</i> on the left hand side of the screen.	The Telephone Trade management screen is displayed.	ABPO

Step	Action	Description	Status
2.	Click on the Telephone Trade Number.	Locate the row corresponding with the trade that needs to be approved. Click on the Telephone Trade.	ABPO
3.	Review data	The <i>Trade View</i> screen will be displayed with details of the trade. This screen is read only. To approve or reject the trade, click on the <i>Edit</i> button.	ABPO
4.	Enter details in <i>Buy Client</i> and <i>Buyer Notes</i> fields.	The <i>Trade Edit</i> screen will be displayed with the same details of the trade, except this time the following fields may be edited: <ul style="list-style-type: none"> <li>Buy Client</li> <li>Buyer Notes.</li> </ul>	ABPO
5.	Select one of the following actions:		
	Click <i>Approve</i> to approve the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ABPO
	Click <i>Approve</i> to approve the trade	Use when the trade is to be approved by a second person in the buy firm.	ABP1A
	Click <i>Approve</i> to approve the trade	Use to reject a trade. A prompt will be ask for a rejection reason. Select the reason from the drop-down list. If you choose <i>Other</i> , add some text in the <i>Explanation</i> field to explain why the trade is being rejected.	RbBPO
	Click <i>Approve</i> to approve the trade	Sends the trade to ASX for approval.	

#### 4.3.1.4. **Buyer Approval of a Telephone Trade**

A buy firm may elect to have a second person approve a trade before submitting it to ASX for approval. This is done as follows:

Step	Action	Description	Status
1.	Click <i>Telephone Trade</i> on the left hand side of the screen.	The Telephone Trade management screen is displayed.	ABPO
2.	Click on the Telephone Trade Number.	Locate the row corresponding with the trade that needs to be approved. Click on the Telephone Trade.	ABPO
3.	Review data	The <i>Trade View</i> screen will be displayed with details of the trade. This screen is read only. To approve or reject the trade, click on the <i>Edit</i> button.	ABPO
4.	Enter details in <i>Buy Client</i> and <i>Buyer Notes</i> fields.	The <i>Trade Edit</i> screen will be displayed with the same details of the trade, except this time the following fields may be edited: <ul style="list-style-type: none"> <li>Buy Client</li> <li>Buyer Notes.</li> </ul>	ABPO
5.	Select one of the following actions:		

Step	Action	Description	Status
	Click <i>Save</i> to save the trade	Use when the trade is <b>not</b> yet ready to be sent to the next person in the workflow.	ABPO
	Click <i>Reject</i> to reject the trade	Use to reject a trade. A prompt will be ask for a rejection reason. Select the reason from the drop-down list. If you choose <i>Other</i> , add some text in the <i>Explanation</i> field to explain why the trade is being rejected.	RbBPO
	Click <i>Approve</i> to approve the trade	Sends the trade to ASX for approval.	

#### 4.4. Trade Cancellation/Replacement

The cancellation of EFP and Block Trade transactions is permitted on the day of registration whilst the cancellation and replacement of EFP and Block Trade transactions is permitted on day 2 under [ASX 24 Operating Rules - Procedures](#).

The relevant form must be completed, signed by an Authorised Signatory and sent to [tradingoperations@asx.com.au](mailto:tradingoperations@asx.com.au).

The relevant forms can be located at their respective links below:

- [Day One Cancellation Form](#)
- [Day Two Replacement Form](#)

##### 4.4.1. Cancel a Trade

Either party can initiate the cancellation a trade by following the process below:

Step	Action	Description	Status
1.	Select the type of trade to be canceled by clicking the relevant link on the left hand side of the screen.	The relevant management screen is shown	
2.	Locate trade	Locate the row corresponding with the trade that needs to be cancelled. It should be highlighted in grey. Click on the trade.	OK
3.	Review data	The <i>Trade View</i> screen is displayed with details of the trade. Review the trade details to confirm that it is the trade that requires cancellation. Click <i>Edit</i> to proceed.	OK
4.	Click <i>Cancel Trade</i> .	Enter a cancellation reason by choosing a <i>Reason</i> from the drop-down list. Options will be: <ul style="list-style-type: none"> <li>• Duplication</li> <li>• Invalid Contract</li> <li>• Invalid Counterparty</li> <li>• Invalid Physical</li> <li>• Invalid Price</li> <li>• Invalid Volume</li> <li>• Other</li> </ul>	OK

Step	Action	Description	Status
		If the reason is <i>Other</i> , enter the reason in the <i>Explanation</i> field.	

#### 4.4.2. All Trades–Approve Cancellation (Counterparty)

Once a trade cancellation has been initiated the trade moves to the other party to confirm or reject the cancellation request.

Step	Action	Description	Status
1.	Click the relevant link on the left hand side of the screen for the type of trade to be cancelled.	The relevant management screen is shown	
2.	Locate trade	Locate the row corresponding with the trade that needs to be cancelled. It should be highlighted in grey. Click on the trade.	OK
3.	Review data	The <i>Trade View</i> screen will be displayed with details of the trade. Review the trade details to confirm that it is the trade that requires cancellation. Click <i>Edit</i> to proceed.	OK
4.	Review the cancellation reason in the Additional Information section and select one of the following actions:		
	Click <i>Approve</i> to approve the trade	Cancellation request is submitted to the ASX for approval.	
	Click <i>Reject</i> to reject the trade		

## 5. Frequently Asked Questions

### 5.1. How long does it take to receive digital certificate credentials?

ASX Online Helpdesk aims to turnaround digital certificate requests within 24hrs.

### 5.2. What if I enter the incorrect password three times in a row?

You will be locked out of ASX TradeAccept and ASX Online and will need to have your password reset by the Administrators:

- ASX Online Participant System Administrator at your organisation; or
- [ASX Online Helpdesk](#)

### 5.3. If I change my ASX Online password how long does it take to take effect?

You will need to wait at least half an hour before you can access ASX TradeAccept.

### 5.4. Do I have to accept the Terms of Use to use ASX TradeAccept?

You are required to accept the Terms of Use every time you log into ASX TradeAccept. If you do not accept, you cannot proceed further and will be logged out of ASX TradeAccept.

### 5.5. Why do the Contract Series codes look different to SFEIN?

ASX TradeAccept uses a different [Contract Series Mapping](#) format.

## 6. Helpdesk Support Details

### 6.1. ASX Customer Service (ASX Online Helpdesk Support)

Phone: 1800 682 484

Email: [participants.online@asx.com.au](mailto:participants.online@asx.com.au)

ASX Customer Service provides primary support for ASX Online users accessing ASX TradeAccept through ASX Online. Tasks supported include:

- ASX Online password generator issues
- ASX Online displaying error messages, cannot continue
- [www.asxonline.com](http://www.asxonline.com) not available under the http:// protocol
- [www.asxonline.com](http://www.asxonline.com) running slowly
- Cannot connect to [www.asxonline.com](http://www.asxonline.com)
- ASX TradeAccept login issues
- ASX TradeAccept login displaying error message, cannot continue
- Cannot connect to ASX TradeAccept.

### 6.2. ASX 24 Trading Operations Desk

All other issues should be directed to the Trading Operations Desk.

Phone: **+61 (2) 9256 0677**

Email: [tradingoperations@asx.com.au](mailto:tradingoperations@asx.com.au)

Operational support of the ASX TradeAccept System to Participants which includes, but is not limited to:

- ASX TradeAccept site not available under http protocol
- ASX TradeAccept site running slowly
- Assistance on how to submit or approve trades
- User Accounts - Creation, Issues, Activation
- New Participants- How to?
- Rejected trades.



## Appendix A. Status Definitions

### A.1. Deal Status Definitions

Status Code	Description
ASPO	Saved by sell party.
C	Deal has been cancelled by the seller.
ASP1A	Waiting for 2 <sup>nd</sup> level sell approval. *
RbSPO	Deal has been rejected by 2 <sup>nd</sup> level sell approver. *
ABPO	Waiting for buy party approval.
RbBPO	Deal rejected by buy party.
ABP1A	Waiting for 2 <sup>nd</sup> level buy approval. *
AV	Pending automated validation.
AS	Pending manual validation by ASX.
RbS	Deal rejected by ASX.
OK	Deal approved by the exchange.

### A.2. Cancellation Status Definitions

Status Code	Description
OK1C	Completed deal cancellation requested and awaiting approval from the other party.
OKCR	Completed deal- cancellation rejected.
OK2C	Completed deal- cancellation requested and awaiting approval from ASX.
OKCRX	Completed deal- cancellation rejected by ASX.
OKC	Completed deal- cancellation approved by ASX.

\* Participants have the ability to manage their own Users and User privileges as well as a two eyes / four eyes user authorisation process. Participants User(s) designated as both Submitter and Approver can bypass the validation requirements and send trades directly to ASX 24 Service Desk.

## Appendix B. Contract Series Mapping

Contract Series codes in ASX TradeAccept are mapped differently than SFEIN. The below table that explains these differences.

System	Contract Type	Contract Series Mapping
SFEIN	Future	Commodity Code (2) Month (1) Year (1)
	Option	Commodity Code (2) Month (1) Year (2) Strike Price (4 – 5) Call or Put (1)
ASX TradeAccept	Future	Commodity Code (2) Month (1) Year (4) Future (F)
	Option	Commodity Code (2) Month (1) Year (4) Call or Put (1) Strike Price (7)

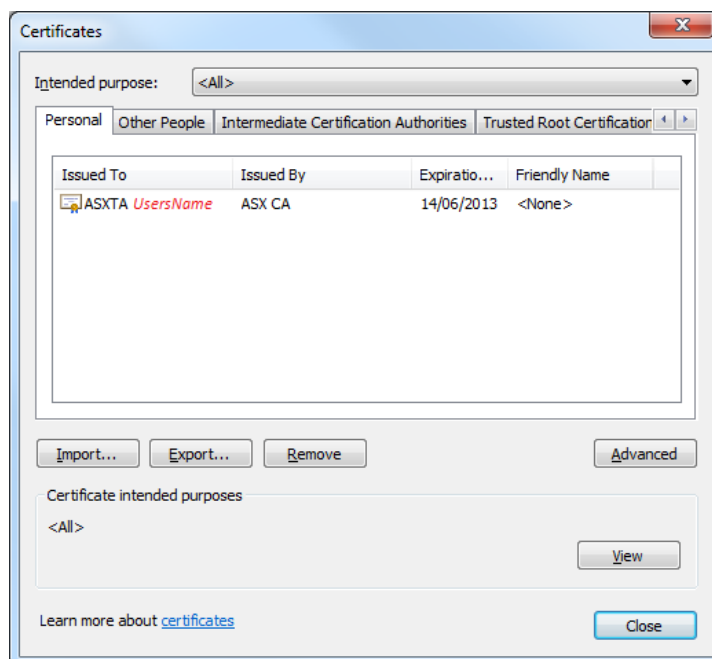
## Appendix C. Troubleshooting

### C.1. Browser-related Issues

#### C.1.1. HTTP 403 Forbidden Issue

Why do I get the error message, “HTTP 403 Forbidden”?

This can happen if there is not a valid digital certificate stored on the computer. You can check your certificate in Internet Explorer by going to Tools-> Internet Options -> Content -> Certificates>Personal. The certificate issued should match your login name.

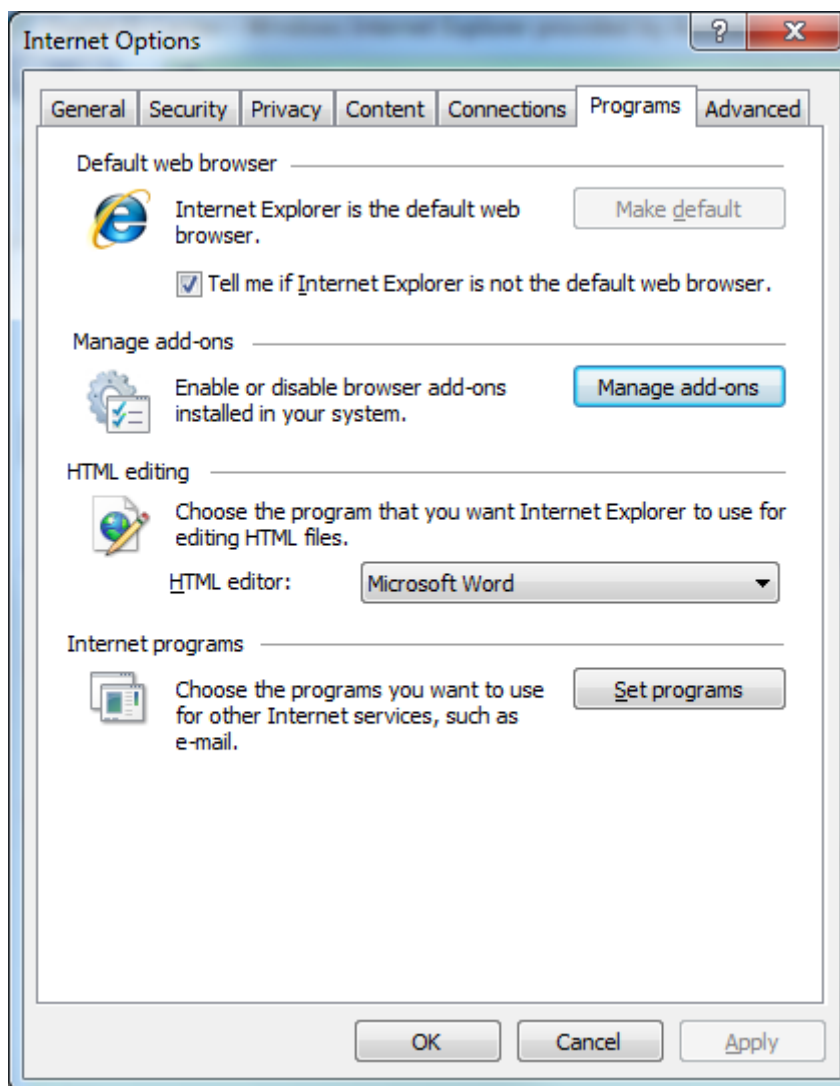


#### C.1.2. JavaScript Issue

Why do I get the error message, “JavaScript must be enabled to use this site. Please enable JavaScript in your browser and try again”?

The application checks to see if JavaScript is enabled before it renders the pages in full. If JavaScript is not enabled, you will not be able to enter any data.

It should be possible to enable JavaScript through the Internet Options>Programs>Manage add-ons>Toolbars and Extensions section of your browser. Consult Internet Explorer Help for more information on how to do this for your browser version.



It might be necessary to shut down all instances of Internet Explorer before changes take effect.

## C.2. Trade Input Issues

### C.2.1. Back button does not work

Like certain online banking applications, ASX TradeAccept does not support use of the back button in order to prevent trades being entered twice.

Depending on the location in the site, the following behaviour might be observed:

- Unexpected page expiry
- Unexpectedly reloading the current page instead of going to the previous page

Since the trade input workflow allows for trades to be edited, saved, cancelled and rejected, it should not be necessary to use the *Back* button at any time.

### C.2.2. Opening the application in two different browser windows logs onto the same session.

In certain browsers, such as IE 8, it is only possible to run a single session at a time on a single machine. That means that if two browser windows are opened and the user logs off in the second window and logs on again under a different username, the original window will assume the new username.

Older browsers such as IE 6 and IE7 allow separate sessions to run in separate windows. This means that you can log into two windows using different usernames. However, we do not recommend this practice as it can be confusing and prone to error.

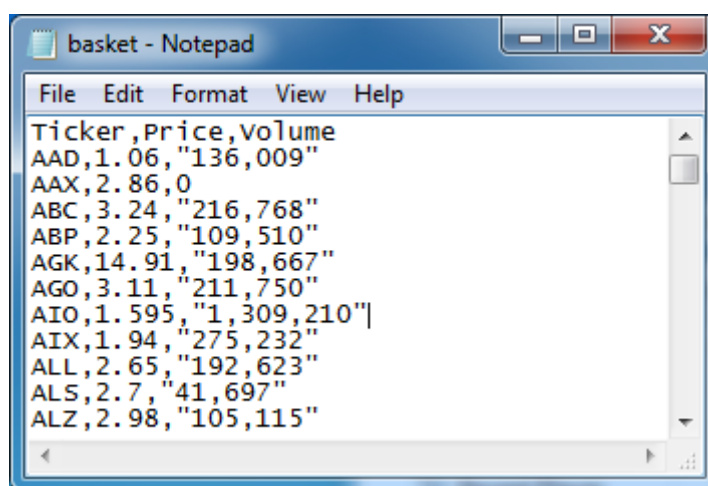
### C.2.3. Error when uploading a basket grid file.

If the template file has been opened in Excel, it will need to be explicitly saved with a file type of "CSV (Comma Delimited)". It does not save with this format by default. If the file is uploaded to the system with any other format, it will be rejected.

Please also note the following restrictions on field lengths.

Field	Data Type	Length	Example
Stock Code	String	8	ABC
Price	Numeric	3,4	3.24
Quantity	Numeric	8,0	21678

Opening the .csv file in a text editor should look like this:



### C.2.4. Can't input a trade date of the next trading day.

It will be possible to input a trading date of the following day after 5pm. This option is not available for trades earlier in the day.

### C.2.5. "Add Leg" button unresponsive in the "Create New Block Trade" screen.

This can occur if the button is clicked too rapidly in succession. The browser requires sufficient time to load the current contract series. Click more slowly in order to allow this to happen.

### C.2.6. When updating the buy/sell firm of a block trade, error 93003001 occurs.

When updating the buy/sell firm of a block trade, the page will display a loading symbol and refresh itself. Please do not press the "Enter" key as this will interrupt the page refresh and cause an error.

### C.2.7. If my firm is both seller and buyer, why can't I enter the buy client details immediately for EFP and Telephone trades?

The system has been designed in such a way that the same workflow steps must be observed whether buyer and seller are the same or a different firm.

### C.2.8. Can I submit a trade on a public holiday?

The system will not accept trades for days that are holidays in the ASX Trade 24 Trading Calendar. It also checks the market trade date when the user submits the trade in case the market for the

particular instrument being traded has a special holiday in addition to the ASX Trade 24 Trading Calendar.

### **C.2.9. I have been editing or viewing a trade and then encounter a message saying “Error: Access Denied” when I submit changes.**

This error may be encountered when the user’s access is modified while they are using the system. Please try to log in again and contact your Participant Administrator User if this is not successful.

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