

CHESS EXTERNAL TESTING GUIDELINES FOR mFUND SETTLEMENT PARTICIPANTS

User Acceptance Testing (UAT)

**AUSTRALIAN SECURITIES
EXCHANGE**

NOVEMBER 2018



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General Information

Overview

The External User Testing Environment has been designed to enable users to create and test scenarios that occur in Production.

Test kits are provided with more than one PID to enable users to act as their own counterparty, and therefore complete test scenarios internally. Additionally, an Automatic Turnaround Processor is available for dual entry messages (refer to page 7)

All testing should be undertaken in conjunction with referencing the External Interface Specification (EIS) manual and the ASX Settlement Procedure Guidelines (APG). These manuals are available via www.asxonline.com.

This document is designed to provide details specific to the External User Testing Environment where usage may differ to Production and therefore will not be included in the EIS and APG.

CHES 10 mFund enhancements 2018

This document has been updated to include enhancements relating to CHES 10. The updates were live from Monday 12 November 2018.

Link to project website

https://www.asxonline.com/content/asxonline/public/landing-pages/CHES_10.html

Contact Details

To request support please email cheshelp@asx.com.au or contact ASX Post Trade Operations on 1800 814 051. Please include the word “mFund TESTING – AIC XXXXX” in your email subject.

Support and System Availability

The system is available from 08.30 to 23.55(Sydney time)

Support is available from 09.00 to 17.00 (Sydney time) business days.

Note, processing of requests will be on a best endeavours basis

Settlement Process / End of Day (EOD) Process

Settlement process commences at 12.00

EOD commences at 23.59.



Test Kit Maintenance

A reset will remove the following from your test kit:

- holdings
- outstanding obligations

To request a reset please email chesshelp@asx.com.au.

Please note that users are requested to only use issuer/security codes and PIDs within their test kit. This will be monitored by system support. This will ensure the test kits can be reset more efficiently and successfully.



Connectivity

Network Details

Refer to allocated test kit document for confirmation of CHES test UIC and Port number assigned to your test kit.

The test kit document will provide one of the following CHES UIC and Port numbers.

| | | |
|----------------|----------------------|---------------------------------------|
| UAT XP1 | CHES Test UIC: 00044 | Port: 4207 |
| UAT XP2 | CHES Test UIC: 00040 | Port: 4210 |
| RTE | CHES Test UIC: 00044 | Port: 4206 (CHES Release Environment) |

IP Address:

| | |
|---------|-----------------|
| Optus | 203.202.049.019 |
| Radianz | 206.190.104.215 |
| ASXiVPN | 203.006.252.010 |
| Telstra | 029.008.001.003 |

Encryption / Security Keys

Encryption is not required in the External User Testing Environment. Each test kit will allow users to connect with or without encryption. To test with encryption, the below listed security keys should be utilised.

Type 1 Keys

KVC

| | | |
|--------------|---|--------|
| Shipping Key | 774E 1195 C539 93F5 CF09 28D1 909F 5F6F | 6D80E2 |
| MKX | B368 05F0 7581 D2E1 3C5A 4DBB 73EF 1268 | 8CB175 |
| MKY | EB93 9A5B 8E23 7EC5 95E7 8410 E9D1 839F | 8D5651 |

Type 2 Keys

Shipping Key

| | | |
|--------|---|--------|
| part 1 | C280 912A 20DA 1375 68B5 0E4A 0485 F8D0 | 255AF8 |
| part 2 | B5CE 80BF E5E3 8080 A7BC 269B 941A A7BF | 184929 |
| MKX | B368 05F0 7581 D2E1 3C5A 4DBB 73EF 1268 | 8CB175 |
| MKY | EB93 9A5B 8E23 7EC5 95E7 8410 E9D1 839F | 8D5651 |

Type 3 Keys –

Shipping Key

| | | |
|--------|---|--------|
| part 1 | C280 912A 20DA 1375 68B5 0E4A 0485 F8D0 | 255AF8 |
| part 2 | B5CE 80BF E5E3 8080 A7BC 269B 941A A7BF | 184929 |
| MKX | 39BF 9149 2392 A36B ODFA EABC 2632 FAB3 | |
| MKY | 155B 9098 D000 A1E4 83AB B626 385C 532E | |



Test Kit Setup

Test Kit Detail

Test kit details are supplied in a separate document at the time of test kit creation and include:

- AIC – Access Identification Code
- PID's – Participant Identification Codes
- Issuer and Security codes
- Default Payment Entrepot HINs
- Payment Facilities
- Network details

Setup Requirements

To start mFund testing you will require mFund testing capability. To arrange to use an existing test kit and have one of the PID's converted to an mFund ready PID or to have a new mFund test kit allocated please send an email to chesshelp@asx.com.au with mFund testing in the subject heading.

These components may be part of an existing test kit (with a PID converted to mFund) or a new mFund test kit.

- mFund Participant PID
- mFund security code
- All Payment facilities and HINs associated with them will be provided by CHESHELP automatically in your test kit.

To begin mFund testing

- Create Sponsored HIN's to emulate client HINs – Refer to section 5 of the APG for the procedure on creating a HIN

https://www.asxonline.com/intradoc-cgi/groups/clearing_and_settlement/documents/manuals/asx015345.pdf



Message Testing

Message Responses

Messages are responded to the same way as production, i.e. the same applications are used to process responses.

Participant Testing

In the situations where third parties are required to complete a transaction, additional processors exist to simulate these parties. Refer to automatic processor information below.

Automatic Turnaround Processor

The **Automatic Turnaround Processor** enables users to conduct one-sided testing in relation to dual entry message testing i.e. CHES will respond on behalf of the counterparty.

Settlement Participant mFund PIDs are assigned to the Automatic Turnaround Processor

Notification of Changes to CHES Settlement Cut-Off

CHES Event Notification (542) message provides information to the change of settlement cut-off times. These messages can be arranged upon request by emailing CHEShelp@asx.com.au.

All Participants will receive 542 messages in the event of change to settlement cut-off notification request.



Applications

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines--table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Application testing can be executed two ways;

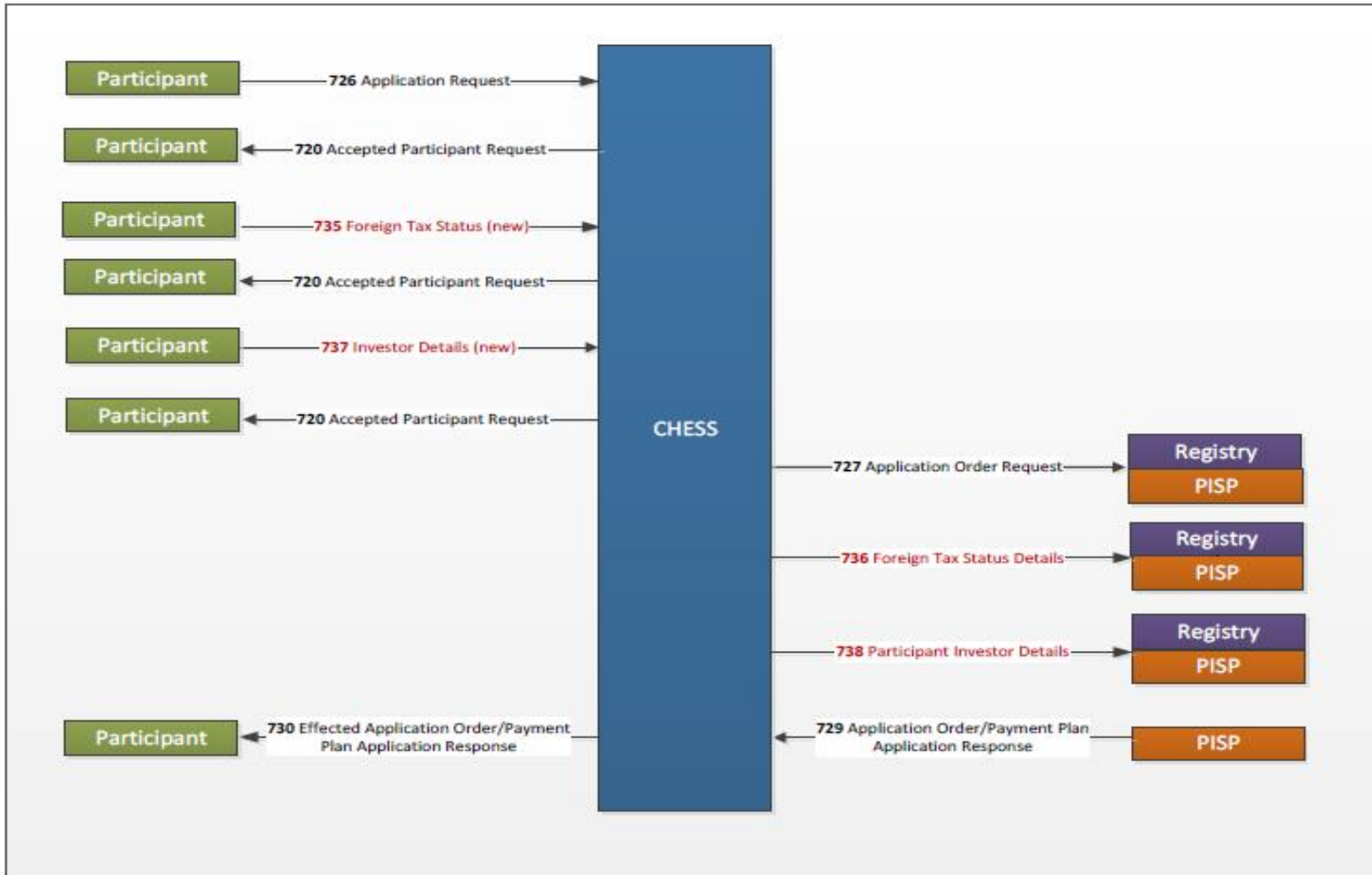
1. Using the **CHES Turnaround processor**. This will allow you to receive automatically generated message outputs eg: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PT Ops is required.
2. **Manual responses**. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.



Application Process

The following section describes the message suite relating to the processing of Initial and Subsequent application transactions.



Application Matrix: Initial / Subsequent

Initial Application Request

Where an investor submits an mFund application request for a particular mFund product for the first time or where a holding is moving from zero units, this constitutes an 'Initial' application. For an Initial Application the **matching MT735 Foreign Tax Status and MT737 Investor Details message will need to be sent with linking transaction ID of the MT726 Initial Application message.**

Subsequent Application Request

Subsequent requests for units in the same fund do not require the same level of detail.

| 726 Application Message | | |
|-------------------------|---|------------------------|
| Field Name | Initial Application | Subsequent Application |
| Fund Code | M | M |
| Fund Amount | M | M |
| HIN | M if broker sponsored | M if broker sponsored |
| Transaction ID | M | M |
| AML/CTF Flag | M | M |
| Current PDS Provided | M | M |
| PDS Issue Date | M | M |
| Initial Application | M must be 'Y' | M must be 'N' |
| Note | Must be accompanied by: <ul style="list-style-type: none">• MT735 Foreign Tax Status• MT737 Investor Details | |

Incomplete Request Cancellation MT740

CHESS will only forward an 'Initial' application or transfer request through to the PISP where all 3 messages in the set have been provided and have passed CHESS validation. For instances where all 3 messages in the set are not provided, CHESS will hold the received messages for **5 Business Days** before cancelling the request. On the morning of **6th business day the requesting Participant will be notified by MT740**. The Origin Transaction ID will be the linking transaction ID.

| Message No | Trigger Field Name | Sender | Recipient |
|------------|------------------------|--------|-------------|
| 740 | Cancelled Fund Request | CHESS | Participant |



Application testing using Automatic Turnaround Processor

| | Trigger Field Name | Trigger | Input Message | Resulting Message | Value |
|--|--------------------|------------------|---------------|-------------------------------|--|
| Application Rejected by PISP | Fund Amount | Odd | 726 | 730 | <p>"R" – Rejected</p> <p>Initial Application = N (Subsequent)</p> <p>Initial Application = Y (initial) must separately send MT735 & MT737 with linking transaction ID of MT726.</p> |
| Application Accepted by PISP; Settlement Completed (payment) Allotment Completed | Fund Amount | Even and < = 10K | 726 | 730/731 156 733 | <p>Transaction status must be "A" accepted.</p> <p>Initial Application = N (Subsequent)</p> <p>Initial Application = Y (initial) must separately send MT735 & MT737 with linking transaction ID of MT726.</p> <p>Default Units = 100480000</p> <p>Pricing date and unit allotment date set to current date if settlement cut-off not reached, otherwise pricing date and unit allotment date should be next business day.</p> |
| Application Accepted by PISP; Settlement Completed (payment) Reminder sent Allotment complete | Fund Amount | 10002.00 | 726 | 730 /731 156 812 733 | <p>Transaction status must be "A" accepted.</p> <p>Next Settlement Cycle</p> <p>Default units 200480000</p> |
| Cancelled Fund Request for Initial Application | Fund Amount | Even and < = 10K | 726 | 720 740 | <p>Transaction Status must be "A"</p> <p>Initial Application = Y</p> <p>Do not send MT735 or MT737</p> |



MT812 Reminder Notice generates on the 2nd Business day post sending MT726

MT740 Cancelled Fund Request will generated

In RTE environment: 1 business day after initial application or CHES to CHES transfer has been received.

In UAT environment: Morning of 6th business day after initial application or CHES to CHES transfer has been received. (Day 1 is the date the initial application or transfer request has been received by CHES).

Unit Price is only sent on the second MT729 when there is a reminder notice MT812.

Example;

1. *MT726 is sent with fund amount = <=10K it will only send 1 MT729 with the price date*
2. *MT726 is sent with fund amount = 10002.00 it will send the 1st MT729 with only the price date and when the Turnaround receives the MT812 it will send the second MT729 with the unit price*



Initial and Subsequent Application Testing, requiring PTOps response

Users completing Application testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to CHESHELP with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to CHESHELP for each test.
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

Redemptions

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

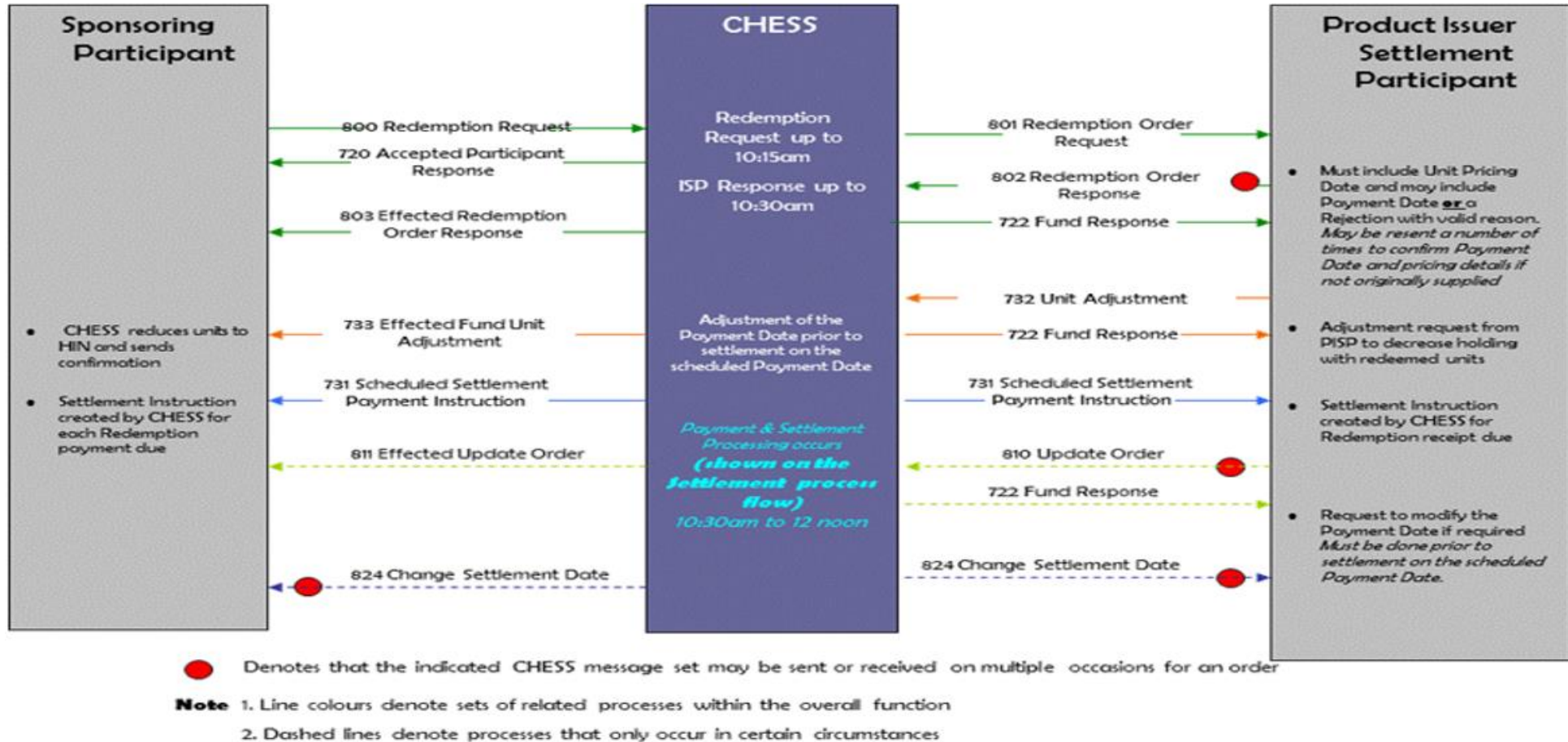
Redemption testing can be executed two ways;

1. Using the **CHES** turnaround processor. This will allow you to receive automatically generated message outputs e.g: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PTOps is required.
2. **Manual responses.** Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.

The Redemption Process

The following section describes the message suite relating to the processing of redemption transactions. The diagrams show the message interactions between the participants involved. Additionally, the data within each message is shown and the mandatory – optional attribute is highlighted.



Redemption testing ranges using the Automatic Turnaround Processor

| | Trigger Field Name | Trigger | Input Message | Resulting Message | Value |
|---------------------------------------|--------------------|--------------|---------------|-------------------|---|
| Redemption Rejected by PISP | Number of Units | Even and <51 | 800 | 803 | "R" - Rejected |
| Redemption on Hold by PISP | Number of Units | Odd | 800 | 803 | "H" – Transaction status Hold "FCR" Reason Code Fund Closed. |
| Redemption Accepted by PISP; | Number of Units | Even and >51 | 800 | 803 | "A" – Accepted for 15K Next Settlement Cycle Same as units in 800 msg |
| Settlement Completed (payment) | | | | 156 | |
| Redeem Units Completed | | | | 733 | |

Participant Cancel Request Redemption using the Automatic Turnaround Processor

| | Trigger Field Name | Trigger | Input Message | Resulting Message | Value |
|--------------------------------------|--------------------|---|---------------|-------------------|----------------|
| Cancellation Rejected by PISP | Units | Odd and < 51 Note: Target Transaction id equals Redemption / Switch Request | 804 | 811 | "R" - Rejected |
| Cancellation Accepted by PISP | Units | Odd and > 51 Note: Target Transaction id equals Redemption / Switch Request | 804 | 811 | "A" - Accepted |



Redemption Testing, requires PTOps response

Users completing Redemption testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to CHESHELP with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to CHESHELP for each test
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

The parameters for Full and Partial redemption rules are provided here;

| Full Redemption | Specific Fund Amount | Specific Number of Units |
|-----------------|----------------------|--------------------------|
| Y | Not populated | Not populated |
| N | Y | N |
| N | N | Y |

The processing rules are as follows;

| Full Redemption | Fund Amount | Number of Units | CHES Accept or Reject |
|-----------------|---------------|-----------------|-----------------------|
| Y | Y | Y | Reject |
| Y | N | Y | Reject |
| Y | Y | N | Reject |
| Y | Not populated | Not populated | Accept |
| N | Y | Y | Reject |
| N | N | N | Reject |
| N | Y | N | Accept |
| N | N | Y | Accept |

Switch of Funds

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Switch Testing can be executed in two ways;

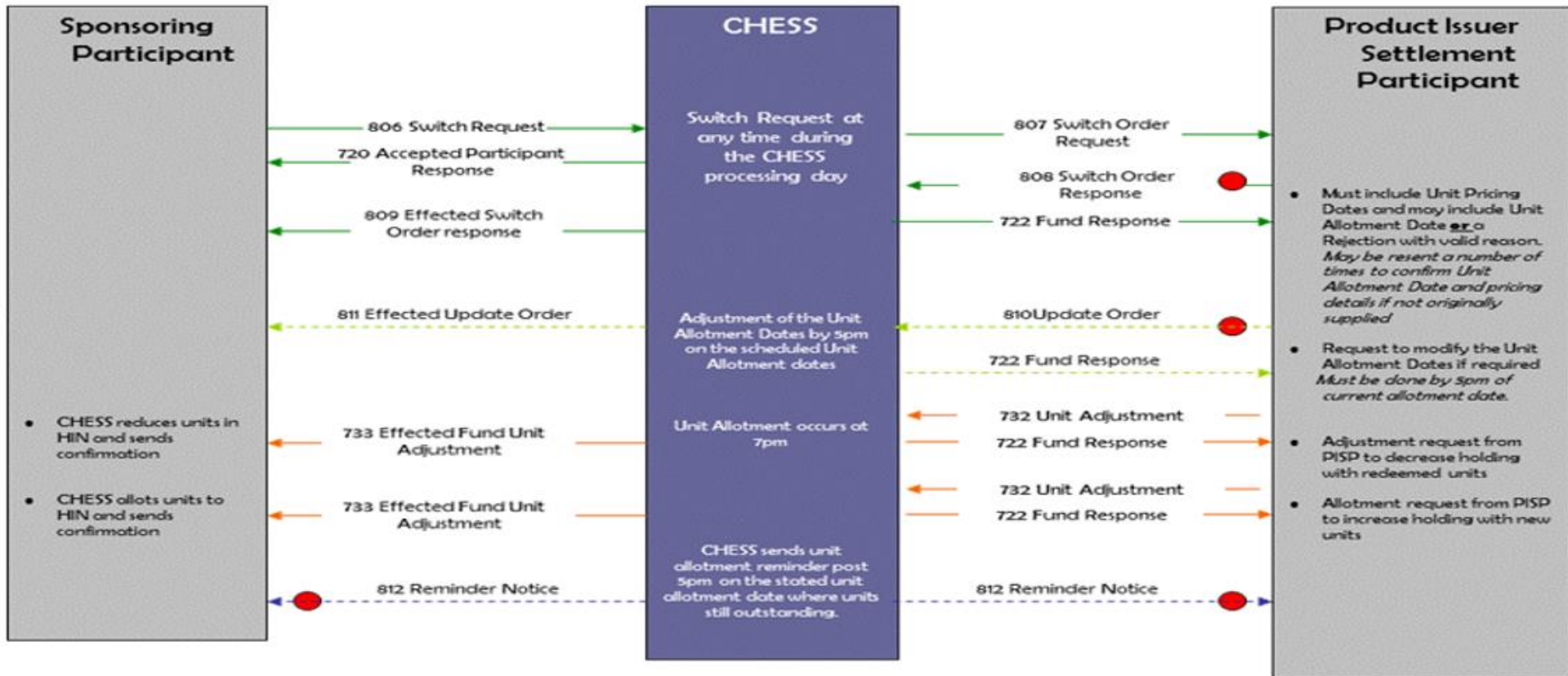
1. Using the **CHES** turnaround processor. This will allow you to receive automatically generated message outputs e.g: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PTOps is required.
2. **Manual responses.** Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed



The Switch Process

The following section describes the message suite relating to the processing of switch transactions. The diagrams show the message interactions between the participants involved. Additionally the data within each message is shown and the mandatory – optional attribute is highlighted.



- Note** ● Denotes that the indicated CHES message set may be sent or received on multiple occasions for an order
1. Line colours denote sets of related processes within the overall function
 2. Dashed lines denote processes that only occur in certain circumstances



Switch testing using Automatic Turnaround Processor

| | Trigger Field Name | Trigger | Input Message | Resulting Message | Value |
|---|--------------------|--|---------------|--|--|
| Switch Rejected by PISP | Number of units | Even and <51 | 806 | 809 | "R" - Rejected |
| Switch on HOLD by PISP | Number of units | Odd If wishing to cancel on hold switch use odd units < or >51 in line with trigger for cancellation in table below | 806 | 809 | "H" – Transaction Status HOLD "FCR" – Reason Code Fund Closed |
| Switch Accepted by PISP; Redeem Units Complete | Number of units | Even and >51 | 806 | 809 732 (redeem) 732 (allot) | "A" – Accepted Same as units in 800msg Same as units in 800msg |

Participant Cancel Request Switch using Automatic Turnaround Processor

| | Trigger Field Name | Trigger | Input Message | Resulting Message | Value |
|--|--------------------|---|---------------|-------------------|----------------|
| Cancellation Rejected by PISP | Units | Odd and < 51 Note: Target Transaction id equals Redemption / Switch Request | 804 | 811 | "R" -Rejected |
| Fund to CHESSTransfer Rejection | Units | Odd and > 51 Note: Target Transaction id equals Redemption / Switch Request | 804 | 811 | "A" – Accepted |



Switch testing that requires PTOps response

Users completing Switch testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to PTOps with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to PTOps for each test
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

The parameters for a Switch message rules are provided here;

| Full Redemption | Specific Fund Amount | Specific Number of Units |
|-----------------|----------------------|--------------------------|
| Y | Not populated | Not populated |
| N | Y | N |
| N | N | Y |

The processing rules are as follows;

| Full Redemption | Specific Fund Amount | Specific Units Redeemed | CHESS Accept or Reject |
|-----------------|----------------------|-------------------------|------------------------|
| Y | Y | Y | Reject |
| Y | N | Y | Reject |
| Y | Y | N | Reject |
| Y | Not populated | Not populated | Accept |
| N | Y | Y | Reject |
| N | N | N | Reject |
| N | Y | N | Accept |
| N | N | Y | Accept |

Order Maintenance

Order Maintenance testing can be executed two ways;

1. Using the **CHESSTurnaround processor**. This will allow you to receive automatically generated message outputs e.g: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PTOps is required. Refer to tables in previous sections for some Order Maintenance turnaround processing all other message responses will require manual response requests.
2. **Manual responses**. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Cancellation of Order

For a Cancellation of Order request please use the Automatic Turnaround processor (see above sections for cancellations) or email chesshelp@asx.com.au and advise the details of the order you wish to be cancelled. The details are;

- PID
- The Target Transaction Id – (Original Transaction Id of Application, Redemption or Switch)
- The Order Type – APP (Application), RED (Redemption) and SWI (Switch)
- The Unit Allotment Date and Payment Date may also be included if required.



Cancellation of an 'On Hold' Redemption or Switch Order

For a Cancellation of an 'On Hold' redemption or switch please use the Automatic Turnaround processor (see above sections for on hold cancellations) ensure you use or email chesshelp@asx.com.au

You can only receive this response if you have a Redemption or Switch on hold at the time of the request.

Please provide details of the Target Transaction Id (Original Transaction Id of Redemption or Switch on hold to cancel).

Update Order Unit Allotment Date / Payment Date

For an Update of the Order Unit Allotment Date or Payment Date please email chesshelp@asx.com.au and advise the details of the Order you wish to update.

The details should include;

- PID
- The Target Transaction Id - (Original Transaction Id of Application, Redemption or Switch)
- The Order Type – APP (Application), RED (Redemption) and SWI (Switch)
- The Revised Unit Allotment Date and or Revised Payment Date

Miscellaneous Adjustment

The Miscellaneous Adjustment is not applicable for Issuer Sponsored Holdings. For a Miscellaneous Adjustment please email chesshelp@asx.com.au and advise the following details;

- Fund Code
- HIN
- PID
- Increase or Decrease
- Adjustment Units – How many units to be adjusted.



Order Reversal

For Order Reversal requests please email chesshelp@asx.com.au and advise the details of the order you wish to be reversed. The details to be included must be for both the Reversal and Reapplication. The details are;

- Fund Code
- HIN or SRN
- PID
- Original Transaction Id
- Unit Price
- Order Type – APP (Application), RED (Redemption) or SWI (Switch)
- Units
- Pricing Date

Corporate Actions

Corporate Action testing can only be achieved by emailing chesshelp@asx.com.au and requesting either a Distribution or Payment Plan. There is no automatic turnaround processor that simulates corporate actions.

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf



Distribution Reinvestment Plan

A Distribution Reinvestment Plan is a mechanism whereby product issuers ask their investors whether they would like to participate. Under these plans, investors can choose to use their cash distribution payment to acquire additional units in a Trust or Fund instead of receiving a cash payment.

Unit holders may also be offered the ability elect to reinvest part or all of their cash payment and DRP units are usually issued at a discount.

Dividend reinvestment plan testing can be executed two ways;

1. Using the **CHESSTURNAROUND** processor. This will allow you to receive automatically generated message outputs e.g: Acceptance or Rejections. Simply follow the ranges in the Automatic Turnaround Processor tables below. No intervention from PTOps is required.
2. **Manual responses** for DRP Election testing may be conducted by asking PTOps to disable the Automatic Turnaround Processor in order for you to submit messages and receive a tailored response. You will need to ensure that you contact PTOps by email chesshelp@asx.com and state that you, or your organisation, wish to perform tailored testing with custom responses. Your request must include a test summary, indicative timeframe, and expected volumes in order for PTOps to determine any necessary resourcing.

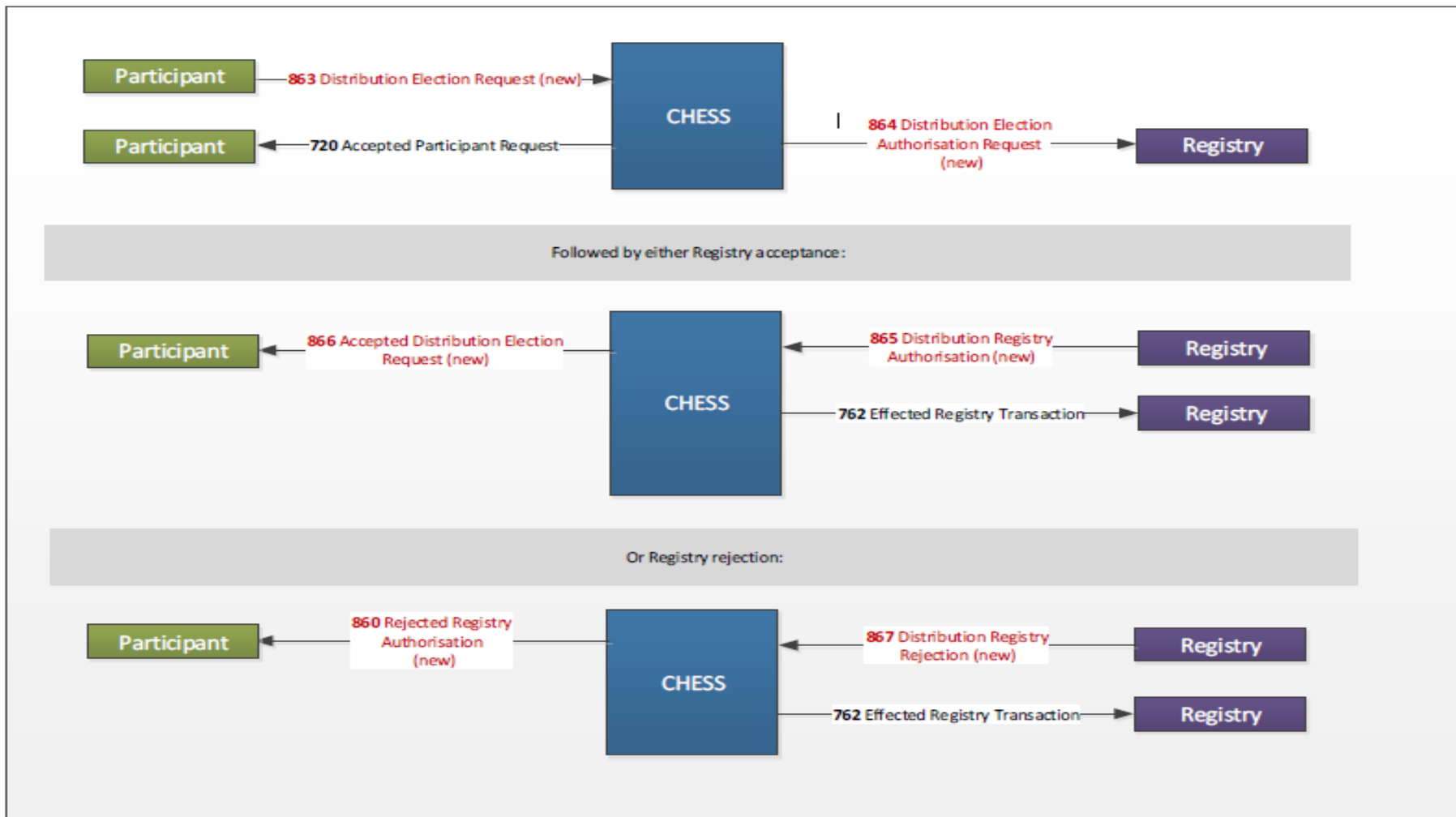
Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.7
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf



Message Flow - the following diagram details DRP message flows:



The following tables show valid DRP election preference combinations, all other combinations will be rejected:

| Holder DRP Preference | DRP Units Participating | Bank Details |
|-----------------------|-------------------------|----------------|
| F (full) | Not applicable | Not applicable |
| P (partial) | Mandatory | Mandatory |
| N (cash) | Not applicable | Mandatory |

Distribution Reinvestment Plan testing using Automatic Turnaround Processor

The automatic turnaround processor for MT863 – DRP Election Authorisation Request messages will provide a positive response (MT866 – Accepted DRP Election Request) for valid messages **or** a negative response (MT860 – Rejected Registry Authorisation) if the APIR Code within the MT864 message is populated with the word 'REJECT'. If the 'Holder DRP Preference' field within the MT864 message that is intended to be rejected is also populated with a space then a rejected registry reason of 'B' will be applied. Otherwise a rejected registry reason of 'A' will be applied.

| Action | Trigger Field | Trigger | Input Message | Return Message | Value |
|--|---------------|----------|---------------|----------------|---|
| PISP Rejection of DRP Election Authorisation Request | APIR Code | 'Reject' | MT863 | MT866 | If MT864 'Holder DRP Preference' field is populated with a space then a rejected registry reason 'B' will be applied. Otherwise a rejected registry reason 'A' will apply |

Income Statement Selection Annual and Periodic

Participants can request a Periodic Income Statement and or an Annual Income Statement for a specific HIN by sending an MT869 Income Statement Request with Income Statement Report Type either A = Annual or P = Periodic.

Where a periodic or annual income statement is requested, only the last distribution payment details or last end of financial year summary distribution information will be made available to the Settlement Payment of the Registry.

Periodic Income Statement

A Settlement Participant may select to have a Periodic Income statement as a regular standing report (applies to periodic only).

It should be noted that a Settlement Participant only has the ability to cancel a standing Periodic Income Statement report. On demand report requests cannot be cancelled by a Settlement Participant.

Annual and Periodic Income Statement testing can be executed two ways;

1. Income Statement testing in relation to Periodic and or Annual Income Statements may be conducted by using the **Automatic Turnaround Processor** which will allow you to receive automatic message outputs (e.g. Acceptance or Rejection)
2. **Manual responses** for Periodic or Annual Income Statement Selection testing may be conducted by asking PTOps to disable the Automatic Turnaround Processor in order for you to submit messages and receive a tailored response. You will need to ensure that you contact PTOps by email chesshelp@asx.com and state that you, or your organisation, wish to perform tailored testing with custom responses. Your request must include a test summary, indicative timeframe, and expected volumes in order for PTOps to determine any necessary resourcing.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframes and available for tailored testing. Test plans may be required if bulk testing is to be completed.

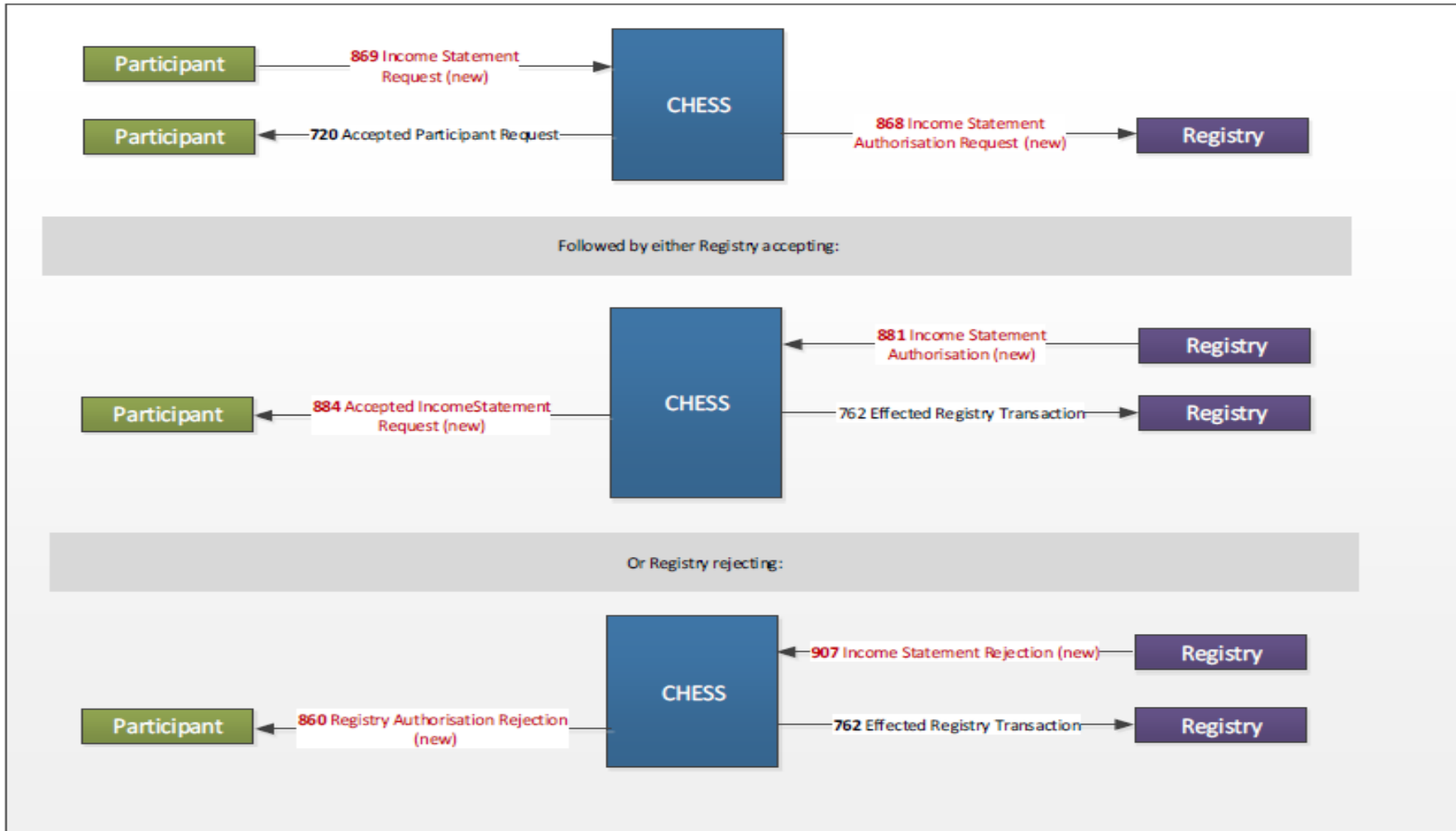
Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.7
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>

https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf



Message Flow - the following diagram details for an Income Statement message flow for both Annual and Periodic :
 Please note that the end messages are not listed in the below diagram. Refer to EIS Guidelines section 5



The following table shows the valid combinations for an MT869 Income Statement request, all other combinations will be rejected

| Income Statement Report Type | Income Statement Report Frequency | Income Statement Cancellation |
|------------------------------|-----------------------------------|-------------------------------|
| A (Annual) | A (on demand) | space |
| P (Periodic) | A (on demand) or S (standing) | space |
| P (Periodic) | space | Y |

Income Statement Request testing using Automatic Turnaround Processor

The automatic turnaround processor for *MT869 – Income Statement Request* messages will provide a positive response (MT884 – Accepted Income Statement Request) for valid messages **or** a negative response (MT860 – Rejected Registry Authorisation) if the APIR Code within the MT869 message is populated with the word 'REJECT'. If the 'Report Type' field is populated with a 'P' then an Income Statement will be received otherwise an Annual Income Statement will be received.

Note: The minimum information required for the receipt of Annual Income Statements (Registry Income Statement Set) is the **receiving PID; HIN and Security**.

| Action | Trigger Field Name | Trigger | Input Message | Return Message | Value |
|--|--------------------|----------|---------------|----------------|--|
| PISP Rejection of Income Statement Request | APIR Code | 'Reject' | MT869 | MT860 | Rejected registry reason of 'G' applied. If MT869 'Report Type' field is populated with a 'P' then an Income Statement will be received otherwise an Annual Income Statement will be received. |



MT816 Income Statement Advice (Periodic)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT816 Income Statement Advice*:

| Bit Position | Field Name | Format | Mandatory / Optional (M/O) | Vale |
|--------------|--------------------------|-----------------------|----------------------------|--------------|
| 1 | Bit Map 2 Marker | On | M | |
| 2 | Security Code | 12 Character | M | |
| 3 | Gross Income Amount | 15 Numeric, 2 Decimal | M | 20000.00 |
| 11 | Income Notification Flag | 1 Character | M | I |
| 16 | HIN | 10 Numeric | M | |
| 20 | PID | 5 Numeric | M | |
| 48 | Transaction ID | 16 Character | M | |
| 65 | Bit Map 3 Marker | On | M | |
| 129 | Bit Map 4 Marker | On | M | |
| 221 | Income Amount Per Unit | 11 Numeric, 6 Decimal | O | 5.00 |
| 223 | Tax Deducted | 15 numeric, 2 Decimal | O | 1000.00 |
| 224 | Nett Amount | 15 Numeric, 2 Decimal | O | 18800.00 |
| 232 | Units Participating | 18 Numeric, 6 Decimal | O | 400000 |
| 237 | Fees | 15 Numeric, 2 Decimal | O | 200.00 |
| 242 | Payment Date | 8 Numeric | M | Process Date |
| 244 | Record Date | 8 Numeric | M | Process Date |
| 245 | APIR Code | 9 Character | O | |
| 250 | Tax Credit Amount | 15 Numeric, 2 Decimal | O | 0.00 |

MT957 Registry Income Statement Part A (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT957 Registry Income Statement Part A*:

| Bit Position | Field Name | Format | Mandatory / Optional (M/O) | Vale |
|--------------|----------------------------|-----------------------|----------------------------|-----------|
| 1 | Bit Map 2 Marker | On | M | |
| 2 | Security Code | 12 Character | M | |
| 16 | HIN | 10 Numeric | M | |
| 19 | PID | 5 Numeric | M | |
| 22 | Income Statement Status | 1 Character | M | |
| 48 | Transaction ID | 16 Character | M | |
| 49 | Set Transaction ID | 16 Character | M | |
| 62 | Origin Transaction ID | 16 Character | M | |
| 65 | Bit Map 3 Marker | On | M | |
| 94 | As At Date | 8 Numeric | M | |
| 129 | Bit Map 4 Marker | On | M | |
| 136 | Non Primary Income | 14 Numeric, 2 Decimal | O | 100000.00 |
| 137 | Trusted Franked Deductions | 14 Numeric, 2 Decimal | O | 2050.00 |
| 165 | Franking Credit | 14 Numeric, 2 Decimal | O | 205.00 |
| 166 | TFN Withholding | 14 Numeric, 2 Decimal | O | 15000.00 |
| 181 | Annual Capital Gain | 14 Numeric, 2 Decimal | O | 250.00 |
| 245 | APIR Code | 9 Character | O | |
| 268 | Net Capital Gain | 14 Numeric, 2 Decimal | O | 175.00 |
| 269 | Assessable Foreign Income | 14 Numeric, 2 Decimal | O | 10.00 |
| 270 | Other Foreign Income | 14 Numeric, 2 Decimal | O | 5.00 |
| 271 | Foreign Income Tax Offsets | 14 Numeric, 2 Decimal | O | 15.00 |
| 272 | Non Primary Deductions | 14 Numeric, 2 Decimal | O | 5.00 |

MT959 Registry Income Statement Part B (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT959 Registry Income Statement Part B*:

| Bit Position | Field Name | Format | Mandatory / Optional (M/O) | Vale |
|--------------|---------------------------|-----------------------|----------------------------|----------|
| 1 | Bit Map 2 Marker | On | M | |
| 2 | Security Code | 12 Character | M | |
| 16 | HIN | 10 Numeric | M | |
| 19 | PID | 5 Numeric | M | |
| 22 | Income Statement Status | 1 Character | M | |
| 48 | Transaction ID | 16 Character | M | |
| 49 | Set Transaction ID | 16 Character | M | |
| 62 | Origin Transaction ID | 16 Character | M | |
| 65 | Bit Map 3 Marker | On | M | |
| 94 | As At Date | 8 Numeric | M | |
| 129 | Bit Map 4 Marker | On | M | |
| 136 | Capital Gain Discounted | 14 Numeric, 2 Decimal | O | 2050.00 |
| 137 | Capital Gain Other | 14 Numeric, 2 Decimal | O | 205.00 |
| 165 | Annual Capital Gain Total | 14 Numeric, 2 Decimal | O | 15000.00 |
| 166 | CGT Concession | 14 Numeric, 2 Decimal | O | 250.00 |
| 181 | Tax Deferred | 14 Numeric, 2 Decimal | O | 175.00 |
| 245 | APIR Code | 9 Character | O | |

MT961 Registry Income Statement Part C AI (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT961 Registry Income Statement Part C AI*:

| Bit Position | Field Name | Format | Mandatory / Optional (M/O) | Vale |
|--------------|--------------------------------------|-----------------------|----------------------------|-----------|
| 1 | Bit Map 2 Marker | On | M | |
| 2 | Security Code | 12 Character | M | |
| 16 | HIN | 10 Numeric | M | |
| 19 | PID | 5 Numeric | M | |
| 22 | Income Statement Status | 1 Character | M | |
| 48 | Transaction ID | 16 Character | M | |
| 49 | Set Transaction ID | 16 Character | M | |
| 62 | Origin Transaction ID | 16 Character | M | |
| 65 | Bit Map 3 Marker | On | M | |
| 94 | As At Date | 8 Numeric | M | |
| 129 | Bit Map 4 Marker | On | M | |
| 136 | AI Dividends Franked Amount Cash | 14 Numeric, 2 Decimal | O | 100000.00 |
| 137 | AI Dividends Franked Amount Tax | 14 Numeric, 2 Decimal | O | 2050.00 |
| 165 | AI Dividends Franked Amount Taxable | 14 Numeric, 2 Decimal | O | 205.00 |
| 166 | AI Dividends Unfranked Amount Cash | 14 Numeric, 2 Decimal | O | 15000.00 |
| 181 | AI Dividend Unfranked Amount Taxable | 14 Numeric, 2 Decimal | O | 250.00 |
| 245 | APIR Code | 9 Character | O | |
| 268 | AI Interest Cash | 14 Numeric, 2 Decimal | O | 175.00 |
| 269 | AI Interest Taxable | 14 Numeric, 2 Decimal | O | 10.00 |
| 270 | AI Other Income Cash | 14 Numeric, 2 Decimal | O | 5.00 |
| 271 | AI Other Income Taxable | 14 Numeric, 2 Decimal | O | 15.00 |
| 272 | AI Trust Deductions Cash | 14 Numeric, 2 Decimal | O | 175.00 |
| 273 | All Trust Deductions Taxable | 14 Numeric, 2 Decimal | O | 10.00 |
| 274 | AI Non Primary Income Cash | 14 Numeric, 2 Decimal | O | 5.00 |
| 275 | AI Non Primary Income | 14 Numeric, 2 Decimal | O | 15.00 |



MT963 Registry Income Statement Part C CG (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT963 Registry Income Statement Part C CG*:

| Bit Position | Field Name | Format | Mandatory / Optional (M/O) | Vale |
|--------------|---------------------------|-----------------------|----------------------------|-----------|
| 1 | Bit Map 2 Marker | On | M | |
| 2 | Security Code | 12 Character | M | |
| 16 | HIN | 10 Numeric | M | |
| 19 | PID | 5 Numeric | M | |
| 22 | Income Statement Status | 1 Character | M | |
| 48 | Transaction ID | 16 Character | M | |
| 49 | Set Transaction ID | 16 Character | M | |
| 62 | Origin Transaction ID | 16 Character | M | |
| 65 | Bit Map 3 Marker | On | M | |
| 94 | As At Date | 8 Numeric | M | |
| 129 | Bit Map 4 Marker | On | M | |
| 136 | CG Discount Cash | 14 Numeric, 2 Decimal | O | 100000.00 |
| 137 | CG Discount Tax | 14 Numeric, 2 Decimal | O | 2050.00 |
| 165 | CG Discount Taxable | 14 Numeric, 2 Decimal | O | 205.00 |
| 166 | CG Tax Concession Cash | 14 Numeric, 2 Decimal | O | 15000.00 |
| 181 | CG Tax Concession Taxable | 14 Numeric, 2 Decimal | O | 250.00 |
| 245 | APIR Code | 9 Character | O | |
| 268 | CG Other Method Cash | 14 Numeric, 2 Decimal | O | 175.00 |
| 269 | CG Other Method Tax | 14 Numeric, 2 Decimal | O | 10.00 |
| 270 | CG Other Method Taxable | 14 Numeric, 2 Decimal | O | 5.00 |
| 271 | CG Distributed Cash | 14 Numeric, 2 Decimal | O | 350.00 |
| 272 | CG Distributed Tax | 14 Numeric, 2 Decimal | O | 175.00 |
| 273 | CG Distributed Taxable | 14 Numeric, 2 Decimal | O | 10.00 |
| 274 | CG Net | 14 Numeric, 2 Decimal | O | 5.00 |

MT965 Registry Income Statement Part C FI (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT965 Registry Income Statement Part C FI*:

| Bit Position | Field Name | Format | Mandatory / Optional (M/O) | Vale |
|--------------|------------------------------|-----------------------|----------------------------|-----------|
| 1 | Bit Map 2 Marker | On | M | |
| 2 | Security Code | 12 Character | M | |
| 16 | HIN | 10 Numeric | M | |
| 19 | PID | 5 Numeric | M | |
| 22 | Income Statement Status | 1 Character | M | |
| 48 | Transaction ID | 16 Character | M | |
| 49 | Set Transaction ID | 16 Character | M | |
| 62 | Origin Transaction ID | 16 Character | M | |
| 65 | Bit Map 3 Marker | On | M | |
| 94 | As At Date | 8 Numeric | M | |
| 129 | Bit Map 4 Marker | On | M | |
| 136 | FI Assessable Income Cash | 14 Numeric, 2 Decimal | O | 100000.00 |
| 137 | FI Assessable Income Tax | 14 Numeric, 2 Decimal | O | 2050.00 |
| 165 | FI Assessable Income Taxable | 14 Numeric, 2 Decimal | O | 205.00 |
| 166 | FI Cash Cash | 14 Numeric, 2 Decimal | O | 15000.00 |
| 181 | FI Tax Tax | 14 Numeric, 2 Decimal | O | 250.00 |
| 245 | APIR Code | 9 Character | O | |
| 268 | FI Cash Cash Sub-Total | 14 Numeric, 2 Decimal | O | 175.00 |

MT967 Registry Income Statement Part C NA (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT967 Registry Income Statement Part C NA*:

| Bit Position | Field Name | Format | Mandatory / Optional (M/O) | Vale |
|--------------|------------------------------|-----------------------|----------------------------|-----------|
| 1 | Bit Map 2 Marker | On | M | |
| 2 | Security Code | 12 Character | M | |
| 16 | HIN | 10 Numeric | M | |
| 19 | PID | 5 Numeric | M | |
| 22 | Income Statement Status | 1 Character | M | |
| 48 | Transaction ID | 16 Character | M | |
| 49 | Set Transaction ID | 16 Character | M | |
| 62 | Origin Transaction ID | 16 Character | M | |
| 65 | Bit Map 3 Marker | On | M | |
| 94 | As At Date | 8 Numeric | M | |
| 129 | Bit Map 4 Marker | On | M | |
| 136 | NA Tax Exempted Amounts Cash | 14 Numeric, 2 Decimal | O | 100000.00 |
| 137 | NA Tax Deferred Amounts Cash | 14 Numeric, 2 Decimal | O | 2050.00 |
| 165 | NA Gross Cash | 14 Numeric, 2 Decimal | O | 205.00 |
| 245 | APIR Code | 9 Character | O | |

MT969 Registry Income Statement Part C OD (Annual)

The shaded fields in the table below detail the values that will be filled by the Automatic Turnaround Processor in relation to an *MT969 Registry Income Statement Part C OD*:

| Bit Position | Field Name | Format | Mandatory / Optional (M/O) | Vale |
|--------------|-------------------------|-----------------------|----------------------------|-----------|
| 1 | Bit Map 2 Marker | On | M | |
| 2 | Security Code | 12 Character | M | |
| 16 | HIN | 10 Numeric | M | |
| 19 | PID | 5 Numeric | M | |
| 22 | Income Statement Status | 1 Character | M | |
| 48 | Transaction ID | 16 Character | M | |
| 49 | Set Transaction ID | 16 Character | M | |
| 62 | Origin Transaction ID | 16 Character | M | |
| 65 | Bit Map 3 Marker | On | M | |
| 94 | As At Date | 8 Numeric | M | |
| 129 | Bit Map 4 Marker | On | M | |
| 136 | OD TFN Amounts Withheld | 14 Numeric, 2 Decimal | O | 100000.00 |
| 137 | OD Other Expenses | 14 Numeric, 2 Decimal | O | 2050.00 |
| 165 | OD Net Cash | 14 Numeric, 2 Decimal | O | 205.00 |
| 245 | APIR Code | 9 Character | O | |

Holding Advice and Bank Account Details

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 5.7
<https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-asx-settlement-procedure-guidelines/asx015345.pdf>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Holding Advice and Bank Account Details, testing can be executed two ways;

1. Using the CHESSTurnaround processor. This will allow you to receive message outputs e.g. Acceptance or Rejections.
2. Manual responses. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframe and availability for tailored testing. Test plans may be required if bulk testing is to be completed.

Holding Advice testing using Automatic Turnaround Processor

| | Trigger Field Name | Trigger | Participant Input Message | Registry Input Message | Resulting Input Message to Participant | Resulting Message to Registry |
|---|---------------------|--------------------------|---------------------------|------------------------|--|-------------------------------|
| Holding Advice Registry <u>Accepts</u> | Bank Account Number | First 3 Bytes of the BSB | 757 | 759 | 764 | 762 |
| Holding Advice Registry <u>Rejects</u> | Bank Account Number | First 3 Bytes of the BSB | 757 | 761 | 766 | 762 |

NB: Refer to table below for further information.

Approved BSB numbers from the Australian Payments and Clearing Association Limited must be used.

If the Registry wishes to reject details of a Holding Advice message, the entire details will be rejected. A participant must resend the message with all details. E.g. If a Participant submitted Bank Account details on a Holding Advice message and received 'B', 'D' or 'H' as the rejected reason, the participant would be required to resend the Bank Account

Where a participant has elected to provide a bank account, the relevant optional fields must be completed. For example, if a participant provided a bank account, all bank account details must be provided (i.e. BSB Number, Account Number, Account Name and Account Purpose).

Bank Account Establishment

| First 3 Bytes of BSB | Account Purpose | Account Cancellation | Rejected Holding Advice Reason | Description |
|----------------------|-----------------|----------------------|--------------------------------|--|
| 000 - 067 | E | space | N/A (accepted) | |
| 068 - 101 | E | space | H | Failed requirements for Bank A/C structure or format |
| 102 - 999 | E | space | B | Issuer does not support electronic direct credit |

Bank Account Cancellation

| First 3 Bytes of BSB | Account Purpose | Account Cancellation | Rejected Holding Advice Reason | Description |
|----------------------|-----------------|----------------------|--------------------------------|---|
| 000 - 067 | E | Y | N/A (accepted) | |
| 068 - 999 | E | space | D | Cancellation Bank A/C details do not match recorded Bank A/C details. |



Conversions

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Conversion testing can be executed two ways;

3. Using the CHESSTurnaround processor. This will allow you to receive message outputs e.g. Acceptance or Rejections.
4. Manual responses. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframe and availability for tailored testing. Test plans may be required if bulk testing is to be completed.



The Conversion Process

Conversions: Issuer Sponsored to CHES Conversion of Fund Units



Followed by Product Issuer Settlement Participant acceptance or rejection of the Conversion request.



| A 718 Issuer Sponsored Fund to CHES Conversion Request | M / O |
|---|--------------|
| Fund Code | M |
| APIR Code | O |
| Receiving HIN | M |
| Movement Reason | M |
| Participant Reference | O |
| Supplementary Reference | O |
| Transaction Id | M |
| Security Holder Reference Number | M |
| AML/CTF Check Flag | M |
| KYC Check Flag | M |
| Underlying Reference | O |
| Number of Units | M |

| B 720 Accepted Participant Request | M / O |
|---|--------------|
| Processing Timestamp | M |
| Transaction Id | M |
| Origin Transaction Id | M |

| C 719 Issuer Sponsored Fund to CHES Authorisation Request | M / O |
|--|--------------|
| Fund Code | M |
| APIR Code | O |
| Receiving HIN | M |
| Receiving PID | M |
| Receiving Registration Details | M |
| Broker Non broker Indicator | M |
| Processing Timestamp | M |
| Movement Reason | M |
| Transaction Id | M |
| Security Holder Reference Number | M |
| Origin Transaction Id | M |
| AML/CTF Check Flag | M |
| KYC Check Flag | M |
| Number of Units | M |



Conversion testing using Automatic Turnaround Processor

Issuer to CHESS Sponsored

| | Trigger Field Name | Trigger | Input Message | Resulting Message | Value |
|---|--------------------|---------|---------------|-------------------|--------------------------------|
| Fund to CHESS Transfer Authorisation | Units | Even | 718 | 723 | "A" - Accepted |
| Fund to CHESS Transfer Rejection | Units | Odd | 718 | 725 | "H" – Reason Rejected Movement |

Conversion Testing requiring PTOps response

Users completing Conversion testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to PTOps with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to PTOps for each test
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.



Issuer Sponsored Holding Balance

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines--table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Issuer Sponsored Holding Balance testing can be executed two ways;

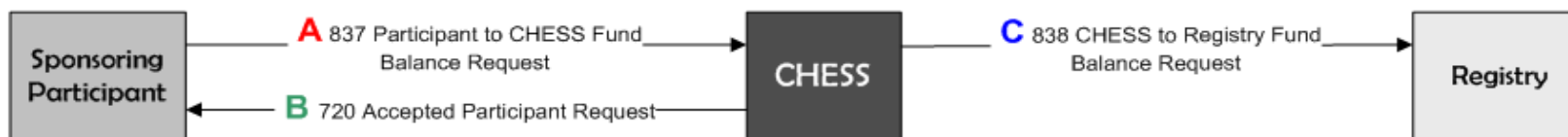
1. Using the CHESSTurnaround processor. This will allow you to receive message outputs e.g. Acceptance or Rejections.
2. Manual responses. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframe and availability for tailored testing. Test plans may be required if bulk testing is to be completed.



The Issuer Sponsored Fund Holding Balance Enquiry Process

Enquiries: Issuer Sponsored Fund Holding Balance Enquiry



| A 837 Participant to CHES Fund Balance Request | | M / O |
|---|--|----------|
| Fund Code | | M |
| APIR Code | | O |
| Transaction Id | | M |
| Verification Name | | M |
| Security Holder Reference Number | | M |

| B 720 Accepted Participant Request | | M / O |
|---|--|-------|
| Processing Timestamp | | M |
| Transaction Id | | M |
| Origin Transaction Id | | M |

| C 838 CHES to Registry Fund Balance Request | | M / O |
|--|--|----------|
| Fund Code | | M |
| APIR Code | | O |
| Requesting PID | | M |
| Processing Timestamp | | M |
| Transaction Id | | M |
| Verification Name | | M |
| Security Holder Reference Number | | M |
| Origin Transaction Id | | M |



Unit Registry Fund Balance Request testing using Automatic Turnaround Processor

| | Trigger Field Name | Trigger | Input Message | Resulting Message | Value |
|--------------------------------|--------------------|----------------------------|---------------|-------------------|----------------|
| Fund Balance Acceptance | SRN | Odd number or end in A-M | 837 | 840 | "A" - Accepted |
| Fund Balance Rejection | SRN | Even number or ends in N-Z | 837 | 842 | "R" – Rejected |

Note: holding balances will be zero, as there is no link to Share Registry systems to check holding balances in the testing environment. For specific holding balances please use below procedure.

Unit Registry Fund Balance Request testing that requires PTOps response

Users completing Unit Registry Fund Balance Request testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to PTOps with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to PTOps for each test
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.



CHES to CHES Fund Transfers (Subject to Regulatory Approval)

Important Note:

This process has been added to these guidelines for the purpose of testing for Vendor accreditation and Operational Readiness as part of mFund Enhancements – CHES Release 10, 2018 and is only available to test in the CHES RTE environment.

Testers are expected to complete testing in conjunction with use of the;

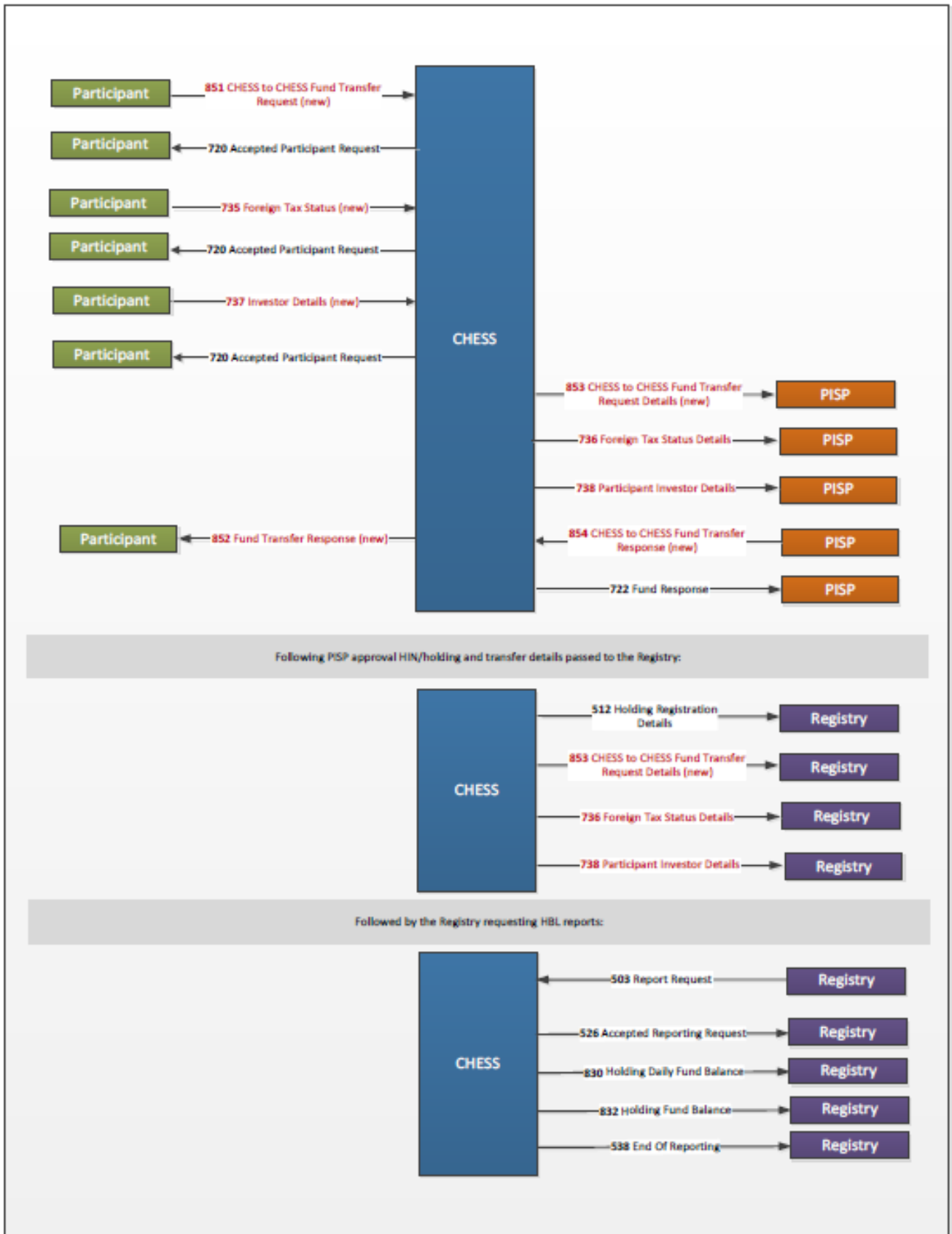
- ASX Settlement Procedure Guidelines (APG) section 28.6
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/ches-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/ches-external-interface-specifications/asx_021308.pdf

CHES to CHES Fund Transfers can be executed two ways;

1. Using the CHES turnaround processor. This will allow you to receive message outputs e.g. Acceptance or Rejections.
2. Manual responses. Users can request PTOps to bypass the turnaround processor to allow you to enter messages and receive a tailored response.

Note: If users wish to bypass the turnaround processor please ensure you contact PTOps to discuss timeframe and availability for tailored testing. Test plans may be required if bulk testing is to be completed.

CHES to CHES Fund Transfer



CHES to CHES Transfer testing using Automatic Turnaround Processor

Participants are required to send the matching MT735 Foreign Tax Status and MT737 Investor Details message.

| | Trigger Field Name | Trigger | Input Message | Resulting Message | Value |
|---|--------------------|---------|---------------|-------------------|--|
| CHES to CHES Transfer rejected by PISP | Units | odd | 851, 733, 737 | 852 | "A" - Insufficient Units Separately send MT735 & MT737 with linking transaction ID of MT851 |
| CHES to CHES Transfer accepted by PISP | Units | even | 851, 735, 737 | 852 512* | Separately send MT735 & MT737 with linking transaction ID of MT851 |

MT512 Holding Registration Details goes to the Share Registry for an accepted CHES to CHES transfer.

Currently there is only one reject reason available "A – Insufficient Units" when using the turnaround processor.

Incomplete Request Cancellation MT740

Where the Transfer Request, Foreign Tax Status (MT735) and Investor Details (MT737) are not received by CHES within **5 Business days** to form a valid transfer set, CHES will cancel the Transfer Request. On the morning of **6th business day** the requesting Participant will be notified of the cancelled requested by **MT740**. The Origin Transaction ID will be the linking transaction ID.

| Message No | Trigger Field Name | Sender | Recipient |
|------------|------------------------|--------|-------------|
| 740 | Cancelled Fund Request | CHES | Participant |



CHES to CHES Transfer testing that requires PTOps response

Users completing CHES to CHES Transfer testing where manual responses from PTOps are required will need to ensure;

- An email is sent to PTOps specifying that the user wishes to complete testing receiving manual responses.
- An email is sent to PTOps with an indicative timeframe and expected volume of testing so a resource can be allocated accordingly.
- Details of expected responses should be supplied in an email to PTOps for each test.
- Testers are expected to complete testing in conjunction with use of the Technical Overview and ASX Settlement Procedure Guidelines.

Reporting

Testers are expected to complete testing in conjunction with use of the;

- ASX Settlement Procedure Guidelines (APG) section 28.6
<https://www.asxonline.com/content/asxonline/public/documents/asx-settlement-procedure-guidelines---table-of-contents.html>
- External Interface Specification Manual (EIS) section 4 and 8
<https://www.asxonline.com/content/asxonline/public/documents/chess-external-interface-specifications.html>
https://www.asxonline.com/content/dam/asxonline/public/documents/manuals/chess-external-interface-specifications/asx_021308.pdf

Reporting testing works as it does in production for the mFund test environment

Reporting Matrix

The below table provides some parameters for mFund Reporting

| Reporting ID | Report Name | Existing CHES output messages | | New CHES output messages for mFund | Fields to be populated for Immediate reporting | Fields to be populated for end of day reporting | Fields to be populated for weekly reporting | Requested by |
|--------------|----------------------------------|--|---------------|------------------------------------|---|--|---|--------------|
| | | Non-mFund Related | mFund Related | | 079 Processing Frequency must = 00 | 085 Processing Period = E | | |
| CFB | Participant Counterparty Balance | 158 | 158 | | N/A | 048,078,079,085 | 048,078,079,084,085 | PISP, P |
| CSI | Cancelled Settlement Instruction | 048, 116, 118, 132 | 116 | | N/A | 002,048,078,079,085,094,095 | | PISP, P |
| FHT | Full Fund Holding Transaction | 014, 018, 022, 034, 042, 050, 052, 054, 056, 058, 060, 062, 068, 070, 072, 074, 090, 146 | | 733, 834, 835 | 002,016,048,078,079 | 002,016,048,078,079,085 Or 002,016,048,078,079,085 | | R, P |
| FSI | Full Settlement Instruction | 116, 180, 188, 190, 192 | 116, 180, 188 | | N/A | 002,048,078,079,085 | | PISP, P |
| HBL1 | Holding Fund Balance | 508, 510, 522 | | 830, 832 | 002,016,048,078,079,083 or 002,016,048,078,079,098 | 002,016,048,078,079,085,098 | | R, P |
| HLD | Holder Detail | 222 | 222 | | 016,048,078,079 | 048,078,079,085 | | PISP, P |
| HLH | Holder History | 224 | 224 | | 016,048,078,079 | N/A | | PISP, P |
| HTX | Holding Transaction | 002, 004, 006, 008, 010, 146, 172, 174 | | 717, 723, 733 | N/A | 002,019,048,078,079,085,094,095 | | P |
| PFD | Payment Facility Detail | 230 | 230 | | N/A | 048,078,079,085 | | PISP, P |

¹ Where a Holding Daily Fund Balance (830) or Holding Daily Balance (508) is required, an *As At Date* must be furnished in the 503 Report Request



| | | | | | | | | |
|-----|------------------------------------|-------------------------|---------------|--------------------|---------------------|------------------------------|--|------------|
| PFH | Payment Facility History | 232 | 232 | | N/A | 048,078,079,085 | | PISP, P |
| RPD | Reporting Detail | 234 | 234 | | 048,049,078,079,099 | N/A | | R, PISP, P |
| SET | Settlement | 124, 146, 156, 170, 192 | 124, 156, 170 | | N/A | 048,078,079,085 | | PISP, P |
| SMP | Subregister Movement – Participant | 008, 016, 076, 172, 174 | | 717, 720, 723, 725 | N/A | 019,048,078,079, 085,094,095 | | P |
| USD | User Detail | 226 | 226 | | 019,048,078,079 | N/A | | R, PISP, P |
| USH | User History | 228 | 228 | | 019,048,078,079 | N/A | | R, PISP, P |



Foreign Tax Validation Matrix

Examples are provided in Foreign Tax Determination Example 1 and Foreign Tax Determination Example 2.

| Account Type | Address Type | Address Details (3) | Entity Type | Foreign Residency Indicator | Superannuation Fund ABN | Foreign Person (3) | Foreign Person Date of Birth (3) | Foreign Country Code (3) | Foreign TIN (3) | TIN Absent (3) | Additional Foreign Parties |
|--------------|--------------------|---|--------------------|---|-------------------------|---------------------------------------|---------------------------------------|---|--|--|--|
| S | Error if populated | Error if populated | Error if populated | Error if populated | Mandatory | Error if populated | Error if populated | Error if populated | Error if populated | Error if populated | Error if populated |
| I | Mandatory = R | Mandatory Single instance only | Error if populated | Mandatory | Error if populated | Mandatory Single instance if Foreign | Mandatory Single instance if Foreign | Mandatory Instance per Foreign Country Code. Error if 'AUS' | Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated. | Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated. | Error if populated |
| J | Mandatory = R | Mandatory Instance per Joint holder. At least 2 instances must be present | Error if populated | Mandatory. Note: Y if any of the Joint holders are Foreign. | Error if populated | Mandatory Instance per Foreign person | Mandatory Instance per Foreign person | Mandatory Instance per Foreign Country Code. Error if 'AUS' | Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated. | Mandatory Instance per Foreign Country Code. Error if both Foreign TIN and TIN Absent populated. | No validation, but we expect the brokers to do the following: Aligned on the HIN Registration Details, populate with 'Y' where more than 3 parties are Foreign or where the HIN Registration Details list greater than 3 Persons on the account and those persons are Foreign. |
| C | Mandatory = G | Mandatory Single instance only | Mandatory | Mandatory | Error if populated | Error if populated | Error if populated | Error if populated | Error if populated | Error if populated | Error if populated |
| T | Mandatory = T | Mandatory Single instance only | Mandatory | Mandatory | Error if populated | Error if populated | Error if populated | Error if populated | Error if populated | Error if populated | Error if populated |



Foreign Tax Determination Matrix Example 1

The structure allows up to 3 Foreign Persons per Account Type to be identified and 3 Foreign Tax Residencies per Foreign Person. An Additional Foreign Parties indicator Indicates where there are more than 3 Foreign Persons identified for the Account Type.

| Account Type | Address Type ¹ | Address Details | Entity Type ² | Foreign Residency Indicator | Superannuation Fund ABN ³ | Foreign Person ⁴ | Foreign Person Date of Birth | Foreign Country Code ⁵ | Foreign TIN ⁶ | TIN Absent ⁷ | Comments |
|-----------------------|---|-----------------|--------------------------|-----------------------------|--------------------------------------|---|------------------------------|-----------------------------------|--------------------------|-------------------------|---|
| | 3 instances provided for Account Type 'J' | | | | | 3 instances provided – any additional identified Foreign Persons can be indicated by using the Additional Foreign Parties indicator | | | | | |
| | | | | | | | | 3 instances provided | | | |
| S (Super Fund) | | | | | Y | | | | | | No foreign tax reporting implications |
| I (Individual) | Y | Y | | Y | | Y | Y | Y | Y | Y if no Foreign TIN | |
| | Y | Y | | N | | | | | | | No foreign tax reporting implications |
| J (Joint) | Y | Y | | Y | | Y | Y | Y | Y | Y if no Foreign TIN | Align the group entries with the holder names as they appear in the HIN Registration details. |
| | Y | Y | | N | | | | | | | No foreign tax reporting implications |
| C (Company) | Y | Y | Y | Y | | | | | | | |
| | Y | Y | Y | N | | | | | | | No foreign tax reporting implications |
| T (Trust) | Y | Y | Y | Y | | | | | | | |
| | Y | Y | Y | N | | | | | | | No foreign tax reporting implications |

Notes

- 1 A Residential Address is required for Account Types 'I' and 'J'; a Registered Address is required for Account Type 'C'; a Trust Address is required for Account Type 'T'.
- 2 Entity Type denotes, for Account Types 'C' and 'T', whether the entity is an Active NFE, Passive NFE or a Financial Institution.
- 3 A Superannuation Fund ABN is required for Account Type 'S'.
- 4 Up to 3 Foreign Persons may be identified. Where more than 3 Foreign Persons are identified, the Additional Foreign Parties indicator must be used.
- 5 Up to 3 X 3 Character ISO Country Codes may be entered per Foreign Person. AUS (Australia) not accepted.
- 6 Up to 3 Tax Identifiers, such as a TIN, may be entered per Foreign Person.
- 7 Up to 3 unknown Tax Identifiers, such as a TIN, may be described as absent per Foreign Person.



Foreign Tax Determination Matrix Example 2

This table shows examples where there is NO Foreign Residency identified.

| Account Type | Address Type | Address Details (3) | Entity Type | Foreign Residency Indicator | Superannuation Fund ABN | Foreign Person (3) | Foreign Person Date of Birth (3) | Foreign Country Code (3) | Foreign TIN (3) | TIN Absent (3) | Additional Foreign Parties |
|--------------|--------------|--|-------------|-----------------------------|-------------------------|--------------------|----------------------------------|--------------------------|-----------------|----------------|----------------------------|
| S | No value | No values | No value | No value | 346678009005 | No values | No values | No values | No values | No values | No value |
| I | R | (1) Mr B. Grete 18 Muru Ave Dubbo NSW Australia | No value | N | No value | No values | No values | No values | No values | No values | No value |
| J | R | (1) Mrs B. Ushen 342 Air Ave Picton NSW Australia (2) Ms. L. Jitty 7 Poy Lane Picton NSW Australia (3) Mr. J. Duton 81a Ret Road Picton NSW Australia | No value | N | No value | No values | No values | No values | No values | No values | N |
| C | G | (1) YYT Inc PO Box 23456 Sydney Australia | P | N | No value | No values | No values | No values | No values | No values | No value |
| T | T | (1) TuTu Trading 8501 One Way Melbourne Australia | A | N | No value | No values | No values | No values | No values | No values | No value |

