|  |
| --- |
|  |
|  |
| Information Classification - Confidential |

|  |
| --- |
| ASX Signal B**Application Conformance Test****Checklist**Version 1.1 | May 2022 |
|  |



1. Who is conducting this test?

|  |  |
| --- | --- |
|  Test Contact Name  | Firm |
|  |  |

1. What application are you testing?

|  |  |
| --- | --- |
| Application Name and Version Number  | FIX SenderCompID(s) |
|  |  |

1. When do you plan to test?

Customers have a maximum of 10 continuous business days per phase of conformance test to complete testing. Tests that run over this period will require a complete re-sit of the conformance test in order to be assessed by ASX.

|  |  |  |
| --- | --- | --- |
| Date  | Start Time  | End Time |
|  |  |  |

1. What will you be testing?

To facilitate an efficient assessment and reporting process, ASX asks customers to complete the following table, which highlights the test cases that are not applicable for their conformance test.

As a starting point, all test cases are mandatory (**M**). If you do not intend to perform that particular test, or your application does not support that function, click the value in the cell you wish to modify and select **NS** (Not Supported). A reason must be provided for each case that is marked NS.

|  Self Testing | Title | Requirement | Reason  |
| --- | --- | --- | --- |
| 3.1.1 | Log on | M |  |
| 3.1.2 | Logout | M |  |
| 3.1.3 | Password Change | M |  |
| 3.2.1 | Trade Capture Report Request | M |  |
| 3.2.2 | Trade Capture Report | M |  |
| 3.2.3 | Retransmission Request | M |  |
| 3.3.1 | Message Reject Handling | M |  |

| Scheduled Testing | Title | Requirement | Reason  |
| --- | --- | --- | --- |
| 4.1 | Account Disable | M |  |
| 4.2 | Impending Password Expiry | M |  |
| 4.3 | Trade Cancellation | M |  |
| 4.4 | Failover | M |  |

1. Attestation

I confirm, that by submitting this document, I have read and understood the expectations of the ASX Application Conformance test. I will at all times, throughout my test, adhere to those expectations with special consideration given to ASX Operating Rules and Procedures on acceptable market behaviour.

I also confirm the following:

* The application details provided in this document relate only to the application which will be used to perform the test scripts nominated, as applicable to ASX conformance requirements.
* The application and version used in this conformance test will be the same as used in production.
* If upon receiving a ‘pass’ assessment for this application, I subsequently alter this application, I understand ASX requires that I re-sit the Application Conformance test as a new, complete, and separate instance.
* The ultimate responsibility of the application is that of the customer and ASX accepts no liability in any impact to the operation and / or integrity of the environment introduced as a result of this application.
1. Who do you send this to?

This checklist should be returned to CTS **no later than 1 business day prior** to the intended test date.

1. Document History

| Version | Date | Comment |
| --- | --- | --- |
| 1.0 | March 2022 | Initial version |
| 1.1 | May 2022 | Added cases |

Disclaimer

This document provides general information only and may be subject to change at any time without notice. ASX Limited (ABN 98 008 624 691) and its related bodies corporate (“ASX”) makes no representation or warranty with respect to the accuracy, reliability or completeness of this information. To the extent permitted by law, ASX and its employees, officers and contractors shall not be liable for any loss or damage arising in any way, including by way of negligence, from or in connection with any information provided or omitted, or from anyone acting or refraining to act in reliance on this information. The information in this document is not a substitute for any relevant operating rules, and in the event of any inconsistency between this document and the operating rules, the operating rules prevail to the extent of the inconsistency.

ASX Trade Marks

The trademarks listed below are trademarks of ASX. Where a mark is indicated as registered it is registered in Australia and may also be registered in other countries. Nothing contained in this document should be construed as being any licence or right to use of any trade mark contained within the document.

ASX®