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| Information Classification - Confidential |

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

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