Technology Upgrade Releases

October 2018 Update

FUTURES (ASX24) MARKET

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
ASX Trade					
Q1 2019 Release					
Enhancement	Service Release	This release will implement Clearing ID validation. Orders with an invalid clearing ID will be rejected	Yes	Q1 2019	Q1 2019

CLEARING AND SETTLEMENT SERVICES

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
OTC					
Q1 2019 Release					
Enhancement	OTC Service Release 3	The bi-annual OTC service release will deliver internal operational enhancements, product changes and minor performance improvements.	Yes	Q1 2019	Q1 2019
CHESS					
Q4 2018 Release					
Mandatory*	CHESS Release 10	This release will deliver new and amended mFund specific CHESS message suites to support: - CRS foreign tax requirements; and - A redeveloped mFund application message suite that features a separate message for static investor details. The new and amended message suites will additionally allow subsequent amendment of CRS foreign tax status and investor details. Further information is available here. *Mandatory for mFund Users only.	Yes	10 Nov 2018	12 Nov 2018

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
Austraclear					
Q4 2018 Release					
Mandatory	Austraclear – Service Release 6	The bi-annual Austraclear Service Release will deliver changes to the Austraclear GUI with SWIFT annual changes.	Yes	17 Nov 2018	19 Nov 2018
Mandatory	SWIFT 7.2 Upgrade	Upgrade of SWIFT Infrastructure to maintain supportability of SWIFT messaging and compliance with Customer Security Programme (CSP) mandated by SWIFT. This release will have no impact to customers.	No	20 Oct 2018	22 Oct 2018
Derivatives Clearing System (DCS)					
Q4 2018 Release					
Enhancement	DCS Platform Upgrade	Release of the Member Clearing Module (MCM) v1.4.8	No	24 Nov 2018	26 Nov 2018
Enhancement	DCS Platform Upgrade	ASX DCS Platform upgrade	No	02 Feb 2019	04 Feb 2019
Mandatory	DCS Platform Upgrade	Mandatory upgrade by customers to latest version of MCM (v1.4.8)	Yes	29 Mar 2019	29 Mar 2019

INFORMATION SERVICES

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
Market Announcements Function					
Q1 2019 Release					
Enhancement	MAR Phase 2 - Trading State Processor	This service will introduce solution to offer stakeholders an alternative independent solution to connect to and receive security status updates associated with price sensitive announcements via FIX message broadcasts	Yes – For participants choosing to take the service	Q1 19 (TBC)	Q1 19 (TBC)

DIGITAL SERVICES

Release Type	Name	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
Q1 2019 Release					
Technical Go-Live	Market Information API	Market Information API resiliency enhancements.	Yes	Jan 2019	FY19 Q4

MULTIPLE SYSTEMS IMPACTED

Release Type	Release Functionality	Description	Customer Impact (Y/N)	Technical Go-Live	Business Go-Live
Q4 2018 Multiple Releases					
Informational	ASX Firewall Refresh	Through to end 2018, ASX will refresh the ASXNet/E2 firewalls. Although the changes will occur on a weekend, some services may experience an interruption during the new firewall implementation. We envisage minimal interruption providing sufficient time for implementation and testing. Targeted Customer communications will be provided prior to the implementation.	Yes	Q4 2018	Q4 2018

ASX Mandatory Release Periods

ASX mandatory releases require all users and vendors to amend their applications that directly connect to the relevant ASX service. ASX may require accreditation of each application either in entirety or to capture the scope of the mandatory change.

ASX generally plans to implement no more than two Mandatory Releases [per service] per calendar year. These releases will typically be around 6 months apart and may be scheduled to coincide with regulatory changes mandated by ASIC. ASX may also need to schedule a Mandatory Release in the case of a critical production fault.

ASX may also implement one or more Enhancement Releases during the year. An Enhancement Release will not be scheduled within four weeks of a Mandatory Release.

Release Terminology

Enhancement Release – Enhancement releases are incremental updates without the need for users to upgrade all applications at the same time. This release is voluntary and enables users to prioritise business objectives and allocate resources as required.

Mandatory Release – Mandatory releases are required to be implemented by all users and vendors to upgrade all applications. A mandatory release may comprise any change, including improvements and corrections to the messaging structure, logic (API in some instances) or content associated with the relevant system.

Informational – This is not a release, but more of an item to be noted. This functionality may potentially have an impact as it is a change to existing business processes.

Technical Go-Live – Technical Go-Live is the date the release is installed into production. Functionality may be disabled until Business Go-Live.

Business Go-Live – Business Go-Live is the date when the functionality is enabled in production.

Associated Releases

ASX has an ongoing commitment to conduct disaster recovery testing across all ASX platforms. Refer to the *ASX Business Continuity Management Testing Schedule* on *asx.com.au*.

Communication

Detailed documentation on the scope, technical specifications and projected timeframes for individual Mandatory and Enhancement releases will be provided by ASX no later than 90 days prior to the implementation date (unless required to do otherwise by a regulator or regulatory obligation, or to resolve a critical production issue). ASX will confirm the Go-Live date of each release by ASX Notice, generally at least two weeks prior to implementation (unless otherwise agreed with stakeholders).

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