

Electronic delivery of CHESS holding statements and notifications

Technical and Process Factsheet

~~August 2021~~ June 2022

Contacts

For general enquiries, please contact:

CHES Helpdesk
T +61 (0)2 9227 0863
T 1800 814 051
E CHESHelp@asx.com.au

Andrew Jones
General Manager, Issuer Services
T +61 (0)2 9227 0710
E issuers@asx.com.au

Contents

Introduction	3
1. Preparing your business	3
Setting up your customers	4
We're here to support you.....	4
2. Electronic communications process lifecycle	5
Electronic communications preference.....	5
Opting in using CHES messages.....	6
Electronic communications process lifecycle: Opt-in/opt-out process	8
Opt-in – new registration	8
Opt-in – changing registration details	8
Opt-out – removing email details	9
Opt-out – retaining issuer electronic communications only	10
Change in controlling participant.....	10
Customer notifications of changes in details	11
Electronic communications and CHES Replacement	11
3. Managing undelivered customers emails	12
Definition of an undeliverable ('bounced') email	12
<u>Definition of a returned mail</u>	<u>12</u>
Report timing and file retention	12
Accessing undeliverable email <u>or returned mail</u> reports using ASX Online Participants	13
Accessing undeliverable email <u>or returned mail</u> reports using ASX sFTP	15
Undeliverable email reports: report structure.....	17
Sample undeliverable email report.....	17
<u>Returned mail reports: report structure.....</u>	<u>17</u>
<u>Sample returned mail report</u>	<u>18</u>
Undeliverable <u>email or returned</u> mail FAQs.....	20
4. The CHES statements portal	23
Creating accounts in the CHES statements portal	23
How to register an account	23
Username and password requirements	28
Types of email communications	28
CHES statements portal functionality	29

Electronic delivery of CHESS holding statements and notifications: Technical and Process Factsheet

06 June 2022

Introduction

Overview

Customers are now able to receive their CHESS holding statements and notifications electronically – with you as their sponsoring participant.

Electronic CHESS holding statements and notifications are part of our commitment to help you, your business and your customers to enjoy a better ASX experience. Electronic statements provide shareholders with a fast, reliable and secure confirmation of changes to their CHESS holding details.

Electronic communications make it easier for your customers to keep track of their records and for you to manage returned mail more efficiently. Moreover, electronic communications help lower overall costs and reduce everyone's environmental impact by minimising paper waste.

The design of electronic CHESS holding statements has been updated to include a larger, colour issuer logo. The change is designed to promote issuer branding and improve the appeal of the statement for investors.

Participation in electronic communications is a choice for you and your customers. ASX will work with you to support this new service, to enable you to offer your customers the benefit of electronic communications.

We launched our electronic communications service on 13 December 2021.

This guide provides information for participants that wish to offer this service to their customers. It explains how to opt customers in and out of receiving electronic communications; the fee waiver for opting in; new processes for undeliverable emails [and returned mail](#); and provides an overview of the CHESS statements portal.

1. Preparing your business

To get ready to offer your customers electronic CHESS holding statements, your business should consider:

IT system requirements

All sponsoring participants must be able to:

- Send email contact details to CHESS through CHESS message MT201, and
- Update email addresses via CHESS message MT203.

If you cannot currently support this functionality, you should consider building it into your system. In the future, as part of CHESS replacement, all sponsoring participants will be able to support this email field. However, building this functionality now will allow you to offer your customers electronic statements immediately.

Privacy requirements

If your customers choose to receive electronic communications from ASX, they can also consent for their email contact details to be provided to issuers. Please ensure that consideration is given to relevant privacy laws and any other specific requirements of your customers.

Processes and resource requirements

If your customers decide to opt-in to ASX electronic communications, you will need to manage and maintain their communication option by setting up processes to:

- Offer your customers the service;
- Make changes to their email address;
- Manage undeliverable email ~~or returned mail~~; and
- Allow customers to opt-out of the service.

Setting up your customers

Once you have prepared your business, it will be easy to:

- Ask your customers if they wish to receive their statements electronically; and
- Send us a CHES MT201 ('New Registration Detail') or MT203 ('Registration Details Update Request') message.

ASX will continue to send paper statements to your customers until you change their communication preferences in CHES. Once your customers are opted in, we will stop sending paper statements and instead provide access to a digital CHES statements portal where they can view their electronic CHES holding statements and notifications.

We will be making some changes to the ASX Settlement Operating Rules Procedures to help us send electronic communications.

We're here to support you

ASX is keen to work with you and your business to make the transition to electronic statements and notifications as seamless as possible. This includes waiving certain fees relating to opting your existing customers into the electronic communications service – more details about fee waivers are in **Section 2** below.

2. Electronic communications process lifecycle

This section provides detail on how to opt your customers in, and out, of electronic communications using CHES messages (MT201 or MT203) –the “electronic communications process lifecycle” – in order for you to prepare your business to offer this convenient service to your customers.

Fee waiver

To promote the uptake of electronic communications, ASX will waive some of the charges associated with updating existing investor emails and email purposes. You can find out more about the conditions of the waiver below, under **MT203 fee waiver**.

Electronic communications preference

Investors can choose to have CHES holding statements delivered electronically. They may also consent for their email address and email purpose to be passed on to issuers.

To opt into ASX electronic communications (electronic delivery of CHES holding statements and notifications from ASX), you must select an email purpose A or B, as shown in the table below, on behalf of your customer. [Should a customer intend to only receive issuer related communications electronically \(and continue to receive CHES holding statements and notifications by mail\), option C should be selected.](#)

Table 1: Email purpose elections

Email purpose	Description	Opt-in to electronic CHES holding statements and notifications	Email passed to issuers
A	Preference for electronic communications from ASX and issuers	Yes	Yes
B	Preference for electronic communications from ASX only	Yes	No
C	Preference for electronic communications from issuers only	No	Yes

You do not have to offer your customers all three alternatives. For example, you may wish to simplify a customer’s choice and offer only one option – such as option A, where your customer opts in to ASX electronic communications and issuers are provided with the customers’ email address.

Important

The electronic communication opt-in messages are very specific and must be followed precisely, or the opt-in will not work. See **Opting in using CHES messages**, below, for the exact message requirements.

Opting in using CHES messages

You must send your customer's electronic communication preferences to ASX by using one of the following CHES messages:

- **MT201 – New Registration Details** message for a new sponsored holder customer; or
- **MT203 – Registration Details Update Request** to opt-in an existing sponsored holder customer.

If you wish to opt-in a customer to electronic communications who had an email stored in CHES prior to 13 December 2021 (being the commencement date for electronic communications), you must send your customer's email address in a new MT203 message *even if it is the same as the existing email address*. You must also provide the email purpose election of A or B. The details of the exact message formats required to successfully opt in can be found under **Opt-in – changing registration details**.

Important

Email addresses received by CHES before 13 December 2021 will not be automatically opted in to ASX electronic communications.

MT203 fee waiver

ASX is keen to encourage as many participants as possible to offer electronic communications to their customers and as a result, [for a period of time](#) will waive the fee of \$1.25 for each MT203 message that complies with the conditions outlined in **Table 2**.

Important

If the MT203 message structure differs from **Table 2** (such as including additional fields like change of address or other details), you may be charged a fee and your customer may not be opted into electronic communications.

If an MT203 message fails, and you are sent an MT518 error message, you will be charged a fee for the message.

Table 2: Electronic communications lifecycle message format

	Type	Action	CHESS Message	Email included	Email purpose	Restriction	Fee	Electronic CHESS holding statements
1	New HIN	Set up new HIN	201	Yes	A, B	N/A	\$1.25	Yes
2	New HIN	Set up new HIN	201	Yes	C	N/A	\$1.25	No
3	Existing HIN	Add email and email purpose (where no previous email and email purpose exists)	203	Yes	A, B	Updating any field other than email and email purpose will fail opt-in to electronic CHESS holding statements	Nil	Yes
4	Existing HIN	Add email and email purpose (where no previous email and email purpose exists)	203	Yes	C	N/A	\$1.25	No
5	Existing HIN	Change email	203	Yes	A, B	Updating any field other than email and email purpose will fail opt-in to electronic CHESS holding statements	Nil	Yes
6	Existing HIN	Change email	203	Yes	C	N/A	\$1.25	No
7	Existing HIN	Change email purpose (assuming investor has already correctly opted into electronic CHESS holding statements)	203	Yes	A, B	Updating any field other than email and email purpose	Nil	Yes
8	Existing HIN	Change email purpose (assuming investor has already correctly opted into electronic CHESS holding statements)	203	Yes	C	Updating any field other than email and email purpose	Nil	No
9	Existing HIN	Email cancellation (assuming investor has already correctly opted in to electronic CHESS holding statements)	203	Same as existing	Same as existing	Updating any field other than email and email purpose Email cancellation field is 'Y'	Nil	No
10	Existing HIN	Email cancellation (assuming investor has not opted in to electronic CHESS holding statements)	203	Same as existing	Same as existing	Email cancellation field is 'Y'	\$1.25	No

Electronic communications process lifecycle: Opt-in/opt-out process

Important

Electronic communications opt-in messages, as outlined in the following tables, must follow the structures exactly to be processed by CHES as a valid opt-in request. There are no new error messages introduced as part of electronic communications, therefore CHES will not provide a rejection if opt-in has been unsuccessful.

Opt-in – new registration

To opt-in a new registration for electronic communications, most of the field requirements are mandatory:

Table 3: MT201 – New registration: Electronic communications opt-in

Field	Requirement
Holder Type	Mandatory
Transaction Id	Mandatory
Registration Details	Mandatory
Entrepot Type	Optional
Residency Indicator	Mandatory
Email Address	Mandatory
Email Purpose	'A' (ASX electronic communications and Issuer), or 'B' (ASX electronic communications only)

Opt-in – changing registration details

MT203: Registration details update request fields – updating current registration

For CHES to classify a request to update registration details as opting in for electronic communications the following field requirements, including blanks, are mandatory. If blank fields are populated, then any applicable fee waiver will not apply.

Table 4: Existing registration: electronic CHES holding statements

Field	Requirement
Date of Event	Blank
HIN	Mandatory
Contact Reference	Blank
Transaction ID	Mandatory
Registration Details	Blank or equal to existing registration details
Registration Details Update Reason 1	Blank
Registration Details Update Reason 2	Blank
Holder Status Change	Blank

Residency Indicator	Blank
Holder Lock Release Reason	Blank
Email Address	Mandatory
Email Purpose	'A' (ASX electronic communications and Issuer), or 'B' (ASX electronic communications only)
Email Cancellation	Blank

Figure 1: Sample MT203 message

203-04 Registration Details Update Request

```

-----
016 HIN                : 0012345678
048 Transaction Id     : 0123400000001234
200 Email Address      : example@email.com
208 Email Purpose      : A
  
```

Opt-out – removing email details

You may opt-out your customers from all electronic communications (both ASX and issuer) by sending an **MT203 Registration Details Update Request** message and setting the *Email Cancellation* field value to “Y”. Once we have processed the opt-out, customers will receive printed CHES holding statements and notifications. Customers who have chosen to opt-out will retain access to the portal and continue to have CHES holding statements and notifications generated in the portal, but will not be notified by email.

Table 5: Opting out of ASX and issuer electronic communications

Field	Requirement
Date of Event	Blank
HIN	Mandatory
Contact Reference	Blank
Transaction ID	Mandatory
Registration Details	Blank or equal to existing registration details (fees waived) Updating registration details (fees applicable)
Registration Details Update Reason 1	Blank
Registration Details Update Reason 2	Blank
Holder Status Change	Blank

Residency Indicator	Blank
Holder Lock Release Reason	Blank
Email Address	Mandatory (equal to existing registration details)
Email Purpose	Mandatory (equal to existing registration details)
Email Cancellation	'Y'

Opt-out – retaining issuer electronic communications only

You may opt-out your customers from ASX electronic communications (and retain issuer electronic communications) by sending an **MT203 Registration Details Update Request** message and setting the *Email Purpose* value to "C". Once ASX has processed the opt-out, customers will receive printed CHESS holding statements and notifications. Customers who have chosen to opt-out will retain access to the portal and continue to have CHESS holding statements and notifications generated in the portal, but will not be notified by email.

Table 6: Opting out of all ASX electronic communications and retaining issuer email purposes.

Field	Requirement
Date of Event	Blank
HIN	Mandatory
Contact Reference	Blank
Transaction ID	Mandatory
Registration Details	Blank or equal to existing registration details (fees waived) Updating registration details (fees applicable)
Registration Details Update Reason 1	Blank
Registration Details Update Reason 2	Blank
Holder Status Change	Blank
Residency Indicator	Blank
Holder Lock Release Reason	Blank
Email Address	Mandatory
Email Purpose	'C'
Email Cancellation	Blank

Change in controlling participant

In the event of a change in controlling participant, impacted HINs will retain its most current communication preferences (i.e. electronic or paper). The incoming participant will be responsible for reviewing and making relevant updates using CHESS messages.

Customer notifications of changes in details

Once a customer's detail(s) are changed via an MT203 Registration Details Update Request message, ASX will confirm by sending a notification.

The notification will be sent through one of the following channels in Table 7, depending on the type of detail changed, and the sponsored holder customer's current email purpose:

Table 7: Notification: Change of details

	Change of email purpose (mail <-> electronic)	Change of address	Change of email address	Other details changes ¹
Existing preference to receive mail	Notice sent by post (old preference) and email address (new preference)	Notice sent to old and new postal addresses	Notice sent to postal address only	Notice sent to postal address only
Existing preference to receive electronic	Notice sent by post (new preference) and (old preference) email address	Notice sent to email address only	Notice sent to old and new email addresses	Notice sent to email address only

Electronic communications and CHESS Replacement

ASX has set out the expected process to manage holder communication preferences, including opting into ASX electronic communications as part of the CHESS Replacement project. More information about how to manage holder communication preferences with CHESS Replacement can be found [here](#).



Important

An online account, pending registration by an investor is created when an email address in conjunction with an electronic (ASX) communication preference associated with a HIN, is received by CHESS from a participant. In the event this electronic communication preference election -was provided erroneously by the participant, the participant must opt out of electronic communications for the HIN and make a request to ASX Settlement Operations for the removal of the pending account.

¹ Other detail changes include a change of name or a change of email purpose that does not result in a change of electronic communication preference i.e. changing from "A" to "B" which retains the opt-in for ASX electronic communications.

3. Managing undelivered emails or returned mail

As part of the ASX electronic communications service, you will have access to the following reports:

- Undeliverable email report and;
- Returned mail report.

The undeliverable email report will let you know if an email to one of your customers fails to be sent.

The returned mail report will let you know if mail posted to one of your customers has been returned.

You can retrieve both reports manually through the ASX Online Participants portal, or systematically via the ASX Secure File Transfer Protocol (SFTP) service. Reports are permissioned, which means you will only be able to see the HINs that are linked to you.

While these reports will not contain private data, they will give you enough information to be able to identify your sponsored holder customer. More details about the contents of the report can be found under **Undeliverable email reports: report structure** or **Returned mail reports: report structure**.

To update your customers' details, you will need to enter their correct contact details in CHESS through an MT203 message. The process for this is outlined in **Section 2**.

Definition of an undeliverable ('bounced') email

When the system attempts to send an email and it bounces, it will return as either:

- A **hard bounce**, which means the email address doesn't exist; or
- A **soft bounce**, which means the email account is currently offline or a recipient's mailbox is full.

Emails that hard bounce will immediately be classified as a bounced email and included in the undeliverable email report.

If it is a soft bounce, the system will attempt to re-send the email for up to forty-eight (48) hours. If the system determines that this email cannot be sent, it will be reclassified as a bounced email and included in the report.

Definition of a returned mail

When a statement or notification mail is returned to ASX via the postal system, it will be classified as returned mail and included in the returned mail report. The exception to this rule is returned mail containing a Change of Address in a CHESS notification. ASX will destroy these returned notifications upon receipt.

Report timing and file retention

Undeliverable email reports and returned mail reports will be available for three months on ASX Online Participants and seven days through SFTP.

ASX will archive these reports for seven (7) years for audit purposes. If you need to access a report that is no longer downloadable from ASX Online Participants, please contact CHESSHelp@asx.com.au for an extract.

ASX will generate undeliverable email reports or returned mail reports every week on Wednesdays (02:00am) and Fridays (02:00am). No undeliverable email report will be generated when there are no undeliverable emails processed since the previous participant undeliverable email report. Likewise, if there is no returned mail processed since the previous participant returned mail report, no returned mail report will be generated.

Accessing undeliverable email or returned mail reports using ASX Online Participants

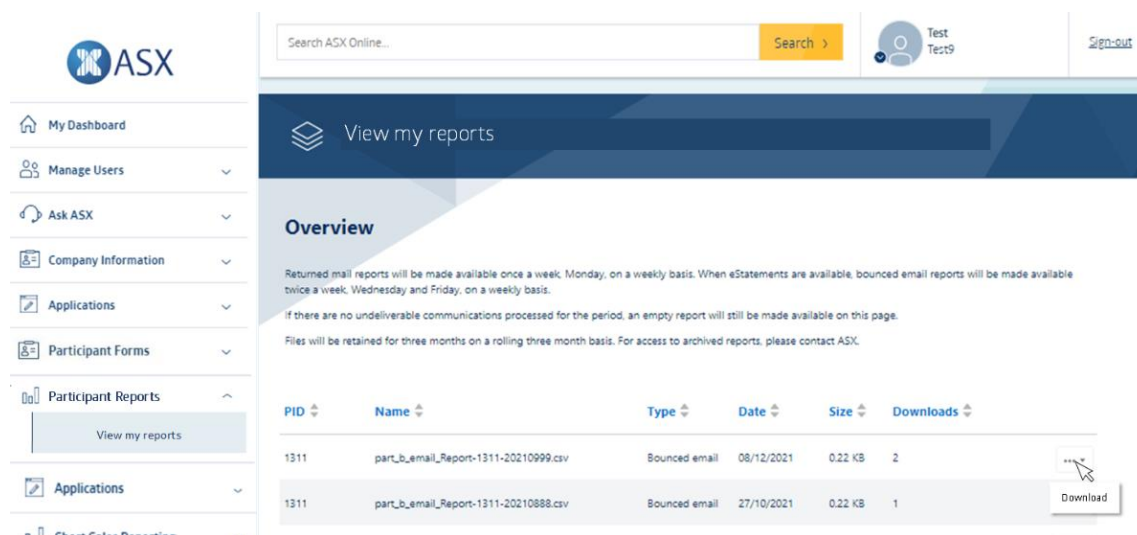
You can access undeliverable email reports and returned mail reports through ASX Online Participants.

ASX has created a new role, “CHESS Undeliverable Statement Reports”, to grant authorised users access to undeliverable email reports or returned mail reports. This role can be assigned by participant users with the Participant Enterprise Administrator (EA) role.

For more information around roles and permissions, go to the [ASX Online guide for Enterprise Administrators](#). If you cannot find your organisation’s person who has access to ASX Online Participants, please contact CHESSHelp@asx.com.au.

Once logged in, you can navigate to ASX online participants and download undeliverable email reports or returned mail reports for a specific sponsoring participant that were generated within the past three (3) months.

Figure 2: Navigating to undeliverable email or returned mail reports



PID	Name	Type	Date	Size	Downloads
1311	part_b_email_Report-1311-20210999.csv	Bounced email	08/12/2021	0.22 KB	2
1311	part_b_email_Report-1311-20210888.csv	Bounced email	27/10/2021	0.22 KB	1

This view is paginated, and contains these six columns:

1. PID (Participant ID, which is included if a given participant has multiple PIDs);
2. Name;
3. Type;
4. Date (the date the file was generated);
5. Size (KB) ; and
6. Downloads (number of times the file has been downloaded).

Figure 3: Report view

PID	Name	Type	Date	Size	Downloads	
654321	part_b_email_Report-654321-20210502.csv	Bounced email	02/05/2021	0.58 KB	77	...
123456	part_b_email_Report-123456-20201015.csv	Bounced email	15/10/2020	1.92 KB	3	...
123456	part_b_email_Report-123456-20201015.csv	Bounced email	15/10/2020	1.64 KB	3	...
123456	part_b_email_Report-123456-20201015.csv	Bounced email	15/10/2020	1.26 KB	3	...

Accessing undeliverable email ~~reports~~ or returned mail reports using ASX sFTP

You can also retrieve undeliverable email reports or returned mail reports from ASX's sFTP service, giving you the ability to automate this process. To set up this connection, contact CHESSTHelp@asx.com.au.

Note: You cannot use existing connections to ASX sFTP to retrieve undeliverable email reports or returned mail reports – you will need to set up a new connection to do this.

Table 8: ASX sFTP - access information

Environment	Domain Name	IP	Port
Production	FTP.ASX.COM.AU	203.15.145.110	22

ASX has the following access requirements:

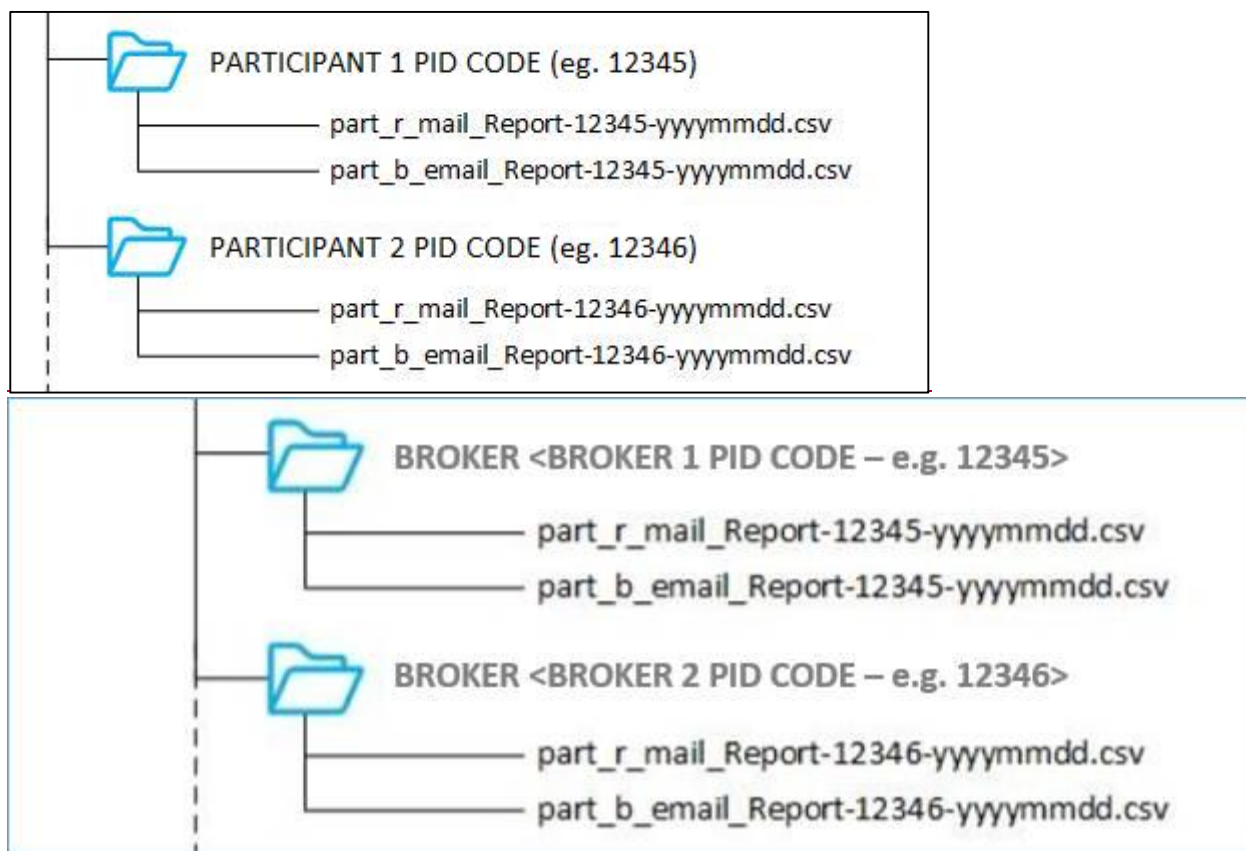
- 2048 bit generated SSH-2 RSA keys;
- Public key provided to ASX; and
- Source IP address or range for whitelisting.

The sFTP service uses SSH public and private key combinations for secure access.

- The requestor (ASX customer) generates the SSH key combination.
- The SSH private key is retained by the requestor and the public SSH key is provided to ASX.

There is a limit of five multiple, concurrent logins in each session per user. Subsequent attempts to login to the sFTP server will be rejected. The folder structure looks like this:

Figure 4: sFTP Folder structure



When you are set up with ASX sFTP, you will only be given access to your specific participant folders.

Undeliverable email reports: report structure

The undeliverable email report is a CSV file. The naming convention for undeliverable email reports is *part_b_email_Report-123456-YYYYMMDD.csv* where:

- **123456** is the Participant ID (PID), and
- **YYYYMMDD** is the date the report was generated.

CSV files have the following structure:

Table 9: Undeliverable email report structure

Field	Description
PID	Participant ID
Customer HIN	Account HIN
Send date	The statement / notification date. Format DD/MM/YYYY
Document type	['Notification', 'Holding Statement']
Document code	See table below
Document name	See table below
Action	['E', ' M '] (E = Email, M = Mail)
Reason	['Bounced Email', ' Return Mail ']
GUID	Globally unique identifier – for internal use

Sample undeliverable email report

Here is a [sample](#) of the undeliverable email report.

Returned mail reports: report structure

The returned mail report is a CSV file. The naming convention for undeliverable email reports is *part_r_mail_Report-12345-YYYYMMDD.csv* where:

- **12345** is the Participant ID (PID), and
- **YYYYMMDD** is the date the report was generated.

CSV files have the following structure:

Table 9: Returned mail report structure

Field	Description
PID	Participant ID
Customer HIN	Account HIN
Send date	The statement / notification date. Format DD/MM/YYYY
Document type	['Notification', 'Holding Statement']
Document code	See table below

<u>Document name</u>	<u>See table below</u>
<u>Action</u>	<u>['E','M'] (E = Email, M = Mail)</u>
<u>Reason</u>	<u>['Bounced Email','Return Mail']</u>
<u>GUID</u>	<u>Globally unique identifier – for internal use</u>

Sample returned mail report

Here is a sample of the returned mail report.

Document code and document name

Document code and **document name** will correspond to the following:

Table 10: Undeliverable email report – document code index

Document code	Document name
A	New CHESS holder
B1	Change of name and/or address details in CHESS
B2	Change of address details in CHESS
B3	Change of email details in CHESS
C	Change of CHESS sponsor
D	Holding statement
E	Suspension of holding statements
F	Reinstatement of holding statements
G	Change of CHESS account from sponsored to direct
H	Change of CHESS account from direct to sponsored
I	Reservation of securities for collateral
J	Release of securities from collateral
K	Reconstruction of securities
L	Adjustment of securities
M	Release of securities from collateral (sponsor)
N	Offer acceptance
O	Reversal of an offer acceptance
P	Reconstruction of securities
Q	Adjustment of securities
R	Release of securities from offer acceptance
S	Application of CHESS holding lock
T	Removal of CHESS holding lock

U	Change of CHESS holder status
V	Change of residency details in CHESS
W	Cancellation of CHESS account
X	Your CHESS HIN has been linked to a customer account to provide security for options market contracts
Y	The link between your CHESS HIN and a customer account established to enable you to provide security for options market contracts has been removed
E1	New account online registration
E2	Change of communication method (new account)
E3	New statement or notification
E4	Change of communication method (existing account)
E5	Change of communication method (old email and existing account)

The codes E1 to E5 will only appear on the bounced email report, as these match to the email communication templates. These will be grouped (by GUID) in the report with the documents that originally triggered the E1-E5 email.

Undeliverable email or returned mail FAQs

1. What should a sponsoring participant do if they receive a bounced email or returned mail? Will ASX stop sending to the incorrect email address or mailing address?

You should update the contact information (as required under KYC requirements). ASX cannot update the contact information for any sponsored holder customer and will continue to send communications to the address provided – even if it is a bounced email or returned mail.

1.2. How can a sponsored holder customer obtain copies of their returned mail?

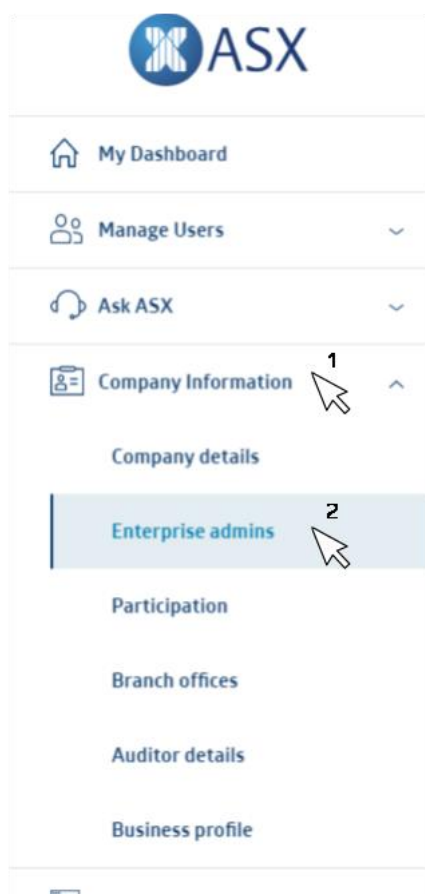
Returned statements or notifications that were originally posted to customers prior to 1 April 2022 will be forwarded to the respective participant. Returned statements or notifications (except B2 notifications) that were originally posted to customers from 1 April 2022, will be:

- a. Registered in the returned mail report investors and
- b. Available in electronic form through the CHESSE statements portal when the investor opts into having access to electronic statements.

2.3. How do I find out the designated Enterprise Administrators for my company?

- Log into **ASX Online Participants**.
- Click **Company information**
- Choose **Enterprise admins**.

Figure 5: Enterprise admins navigation menu option



For more information, see <https://asxonline.com/public/landing-pages/faqs.html>

3.4. Can I still request a reprint of historical CHESS holding statements and notifications?

You can use the existing process to request a demand CHESS holding statement (CHESS message MT503). This will be delivered to the sponsored holder customer through their preferred communication channel. You can also request one for historical CHESS holding statements.

If your customer has registered their HIN for electronic communications, they can access any CHESS holding statements and notifications stored in their CHESS statements portal.

4.5. Can I view the undeliverable email reports or returned mail of any other sponsoring participant?

No. Sponsoring participants will only be able to view the files with their specified PID(s).

5.6. Can a sponsored holder customer view the bounced email reports or returned mail reports?

No. Only sponsoring participants will have access to ASX Online Participants.

6.7. Will bounced emails sent by issuers or their registries be reported to ASX?

No. Only emails from ASX will be reported as returned.

4. The CHESS statements portal

Once the opt-in message has been processed by CHESS, the CHESS statements portal is where your customers can go to:

- Register their account to receive electronic CHESS holding statements and notifications;
- View CHESS holding statements and notifications, and download them in PDF format if they wish to;
- Access up to seven years of historical CHESS holding statements and notifications (note, archived statements will start building from go-live. Historical statements from before this time will not be available via the portal); and
- Change their username and password.

Creating accounts in the CHESS statements portal

One account per Holder Identification Number (HIN):

Each customer who has elected for ASX electronic communications via their sponsoring participant will receive an email requesting they set up an ASX account. They will need to nominate a unique username and password which will be associated with their HIN.

If a sponsored holder customer has more than one HIN they will need to set up a new account with separate username and passwords for each HIN. The same email address can be associated with multiple HINs.

Confirmation of successful opt-in:

For an existing HIN, once opted-in, the customer will be sent a printed notification confirming their change in communication preference to the mailing address on file, and an email communication notifying them that they have opted-in to electronic communications. This email is for security purposes, and does not include any details on the registration process. The registration process, as detailed below, will commence when the first electronic CHESS holding statement or notification is available for view.

For a new HIN, a successful opt-in will initiate the registration process as detailed below.

How to register an account

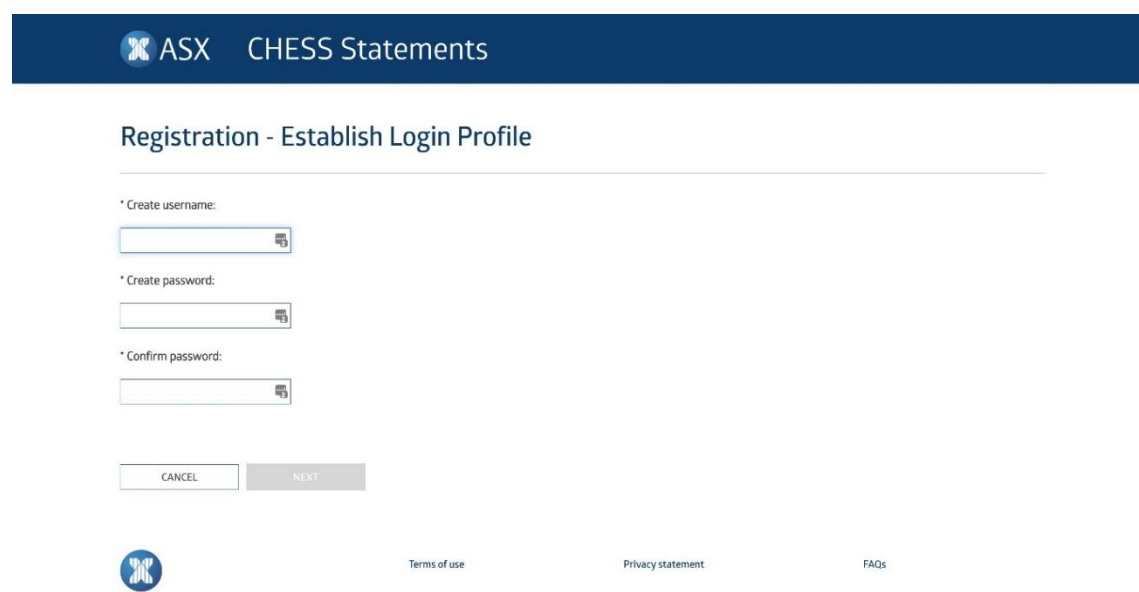
A registration email will be sent to the customer outlining that their CHESS statements portal online account has been created. The email will include a unique registration URL.

There is no expiry on this registration URL however if, for any reason, a registration link needs to be resent, they can ask the ASX Customer Service to re-send it by emailing info@asx.com.au.

Step 1 – Establish an initial log-in

When the customer clicks on the registration link contained in their registration email, they will be directed to this screen:

Figure 6: CHESS statements portal – create username and password page

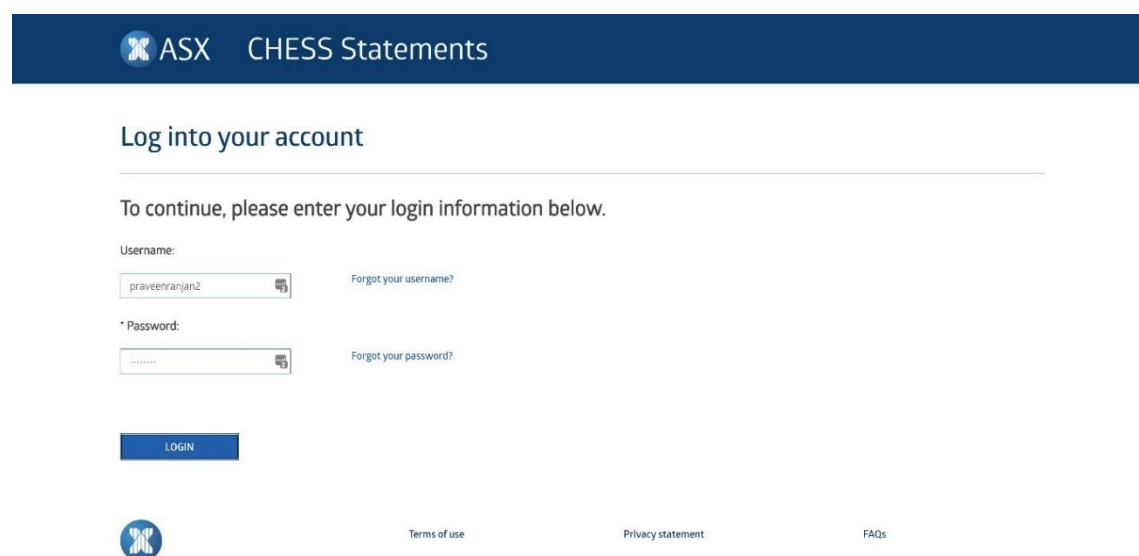


The screenshot shows the ASX CHESS Statements portal registration page. At the top is a dark blue header with the ASX logo and the text "CHESS Statements". Below the header, the title "Registration - Establish Login Profile" is displayed. The form contains three input fields: "Create username:", "Create password:", and "Confirm password:". Each field has a small icon to its right. Below the input fields are two buttons: "CANCEL" and "NEXT". At the bottom of the page, there is a row of links: the ASX logo, "Terms of use", "Privacy statement", and "FAQs".

Step 2 – Validate email

Once the customer enters their details, they will be prompted to validate their email address. They will then be emailed a validation code and hyperlink that takes them to this login screen:

Figure 7: CHESS statements portal – registration login page

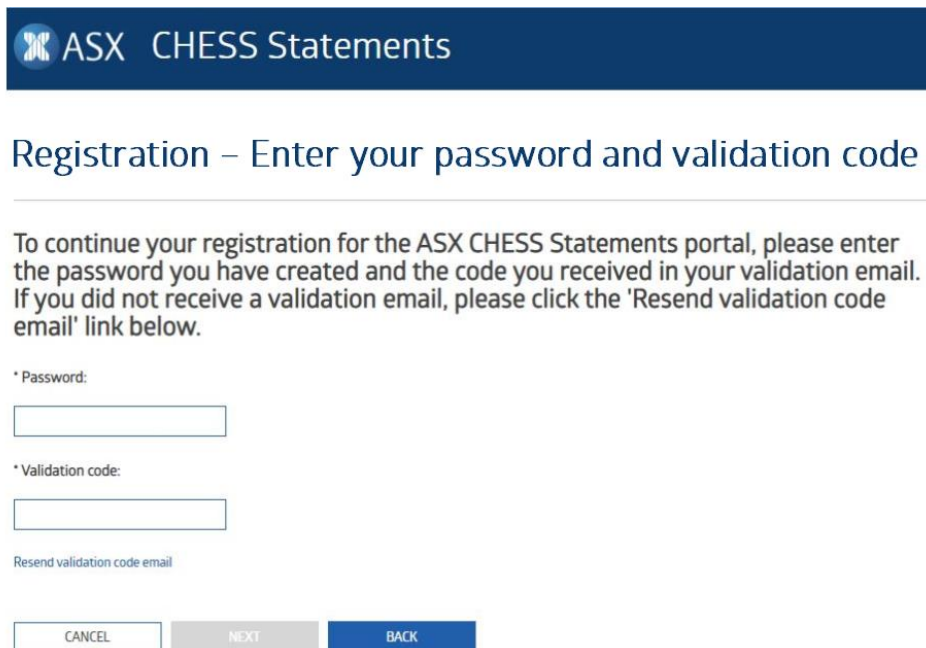


The screenshot shows the ASX CHESS Statements login page. At the top, there is a dark blue header with the ASX logo and the text "CHESS Statements". Below the header, the main heading is "Log into your account". A horizontal line separates the heading from the login instructions: "To continue, please enter your login information below." The login form consists of two input fields: "Username:" and "Password:". The "Username:" field contains the text "praveenranjan2" and has a "Forgot your username?" link to its right. The "Password:" field is masked with dots and has a "Forgot your password?" link to its right. Below the password field is a blue "LOGIN" button. At the bottom of the page, there is a small ASX logo on the left, and three links: "Terms of use", "Privacy statement", and "FAQs" on the right.

Step 3 – Complete validation

After the customer enters their new credentials, the following screen will appear. The customer enters their password and the validation code that was emailed to them, and then clicks the **log in** button.

Figure 8: CHESS statements portal – registration validation page



The screenshot shows the ASX CHESS Statements portal registration validation page. At the top is a dark blue header with the ASX logo and the text "ASX CHESS Statements". Below the header is the title "Registration – Enter your password and validation code". The main content area contains instructions: "To continue your registration for the ASX CHESS Statements portal, please enter the password you have created and the code you received in your validation email. If you did not receive a validation email, please click the 'Resend validation code email' link below." There are two input fields: one for the password, labeled "* Password:", and one for the validation code, labeled "* Validation code:". Below the validation code field is a link that says "Resend validation code email". At the bottom are three buttons: "CANCEL", "NEXT", and "BACK". The "BACK" button is highlighted in blue, while "CANCEL" and "NEXT" are grey.

ASX CHESS Statements

Registration – Enter your password and validation code

To continue your registration for the ASX CHESS Statements portal, please enter the password you have created and the code you received in your validation email. If you did not receive a validation email, please click the 'Resend validation code email' link below.

* Password:

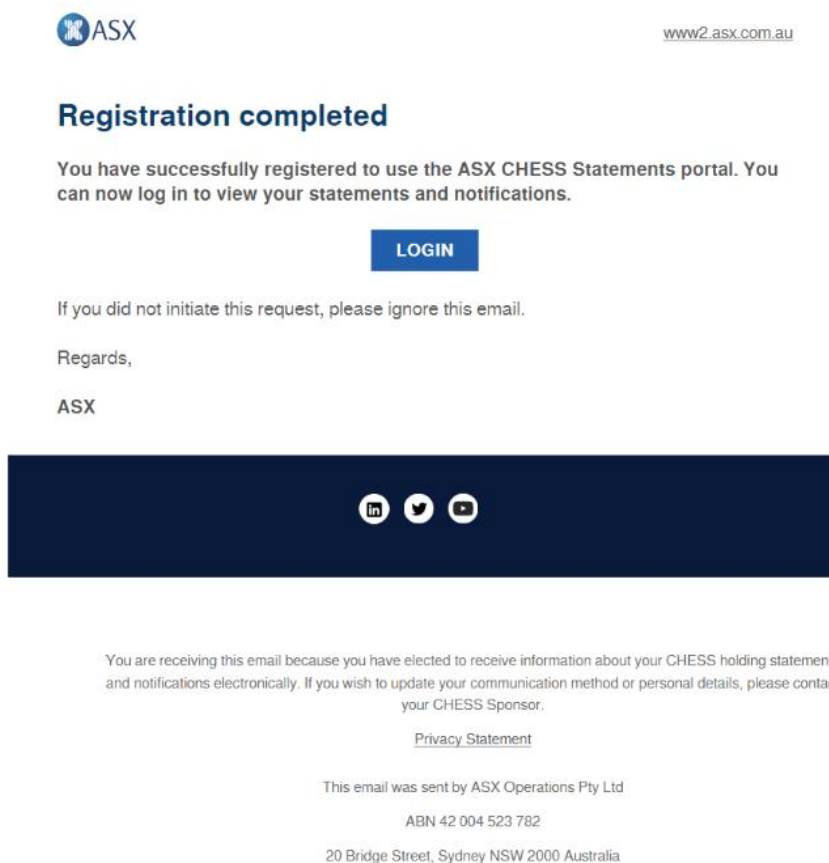
* Validation code:

[Resend validation code email](#)

Step 4 – Complete registration

Once the customer has successfully logged in, they will receive a registration confirmation email.

Figure 9: CHESS statements portal – registration confirmation email



Username and password requirements

Username

For security reasons, the customer's **username** must:

- Be unique (the same username cannot be used across multiple HIN accounts);
- Not be the sponsored holder customer's HIN, or email address;
- Be a minimum of 8 and a maximum of 20 characters in length;
- Be lowercase letters (a-z) or digits (0-9) or the following special characters only:
 - -
 - .
 - _
 - \$
 - !;
- Cannot begin with a special character:
- Cannot be all numeric.

Password

To meet the ASX password policy requirements, the customer's **password** must:

- Be between 8 and 64 characters in length;
- Include at least one uppercase character;
- Include one lowercase character;
- Include one numeric digit;
- Include one special character (e.g. ! , _ , @ , #);
- Have no spaces;
- Not contain 3 or more consecutive characters that are the same (e.g. '111' or 'BBB');
- Not contain 3 or more consecutive characters that are sequential (e.g. '123' or 'XYZ'); and
- Not come from a list of commonly used passwords (e.g. a pet's name, password, qwerty, etc.).

Types of email communications

Customers who opt into ASX electronic communications may receive five types of emails:

- **E1** – New account online registration
- **E2** – Change of communication method (for a new account)
- **E3** – New statement or notification
- **E4** – Change of communication method (for an existing account)
- **E5** – Change of communication method (an old email and existing account)

They may also receive emails to:

- Change their username or password; and
- Receive an authentication code.

Regular email communications

Once a customer has successfully set up their account, they will receive an email:

- at the end of any month where a transaction has occurred to advise that their **CHESS holding statements** are available; and
- at the beginning of the week when a **demand statement request** has been processed.

For **CHESS notifications**, customers will receive one email for each CHESS notification **within two (2) days** of the CHESS notification being uploaded to the portal. For example, if a sponsoring participant submits a change of address and a change of sponsored holder message on the same day, the customer will receive two notification emails when these events have been processed.

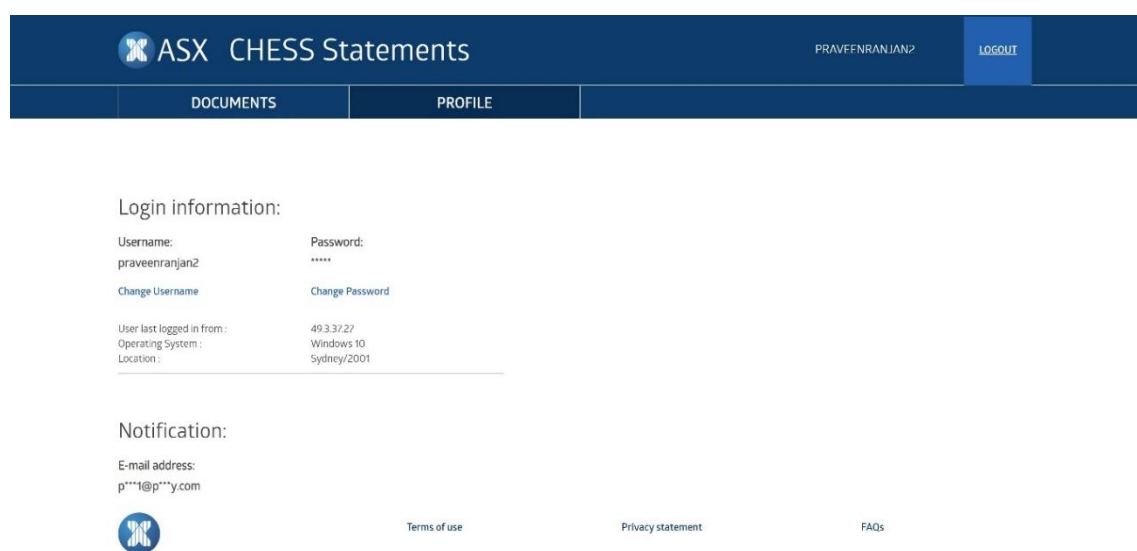
CHESS statements portal functionality

User account management (self-service)

Customers can use the **manage profile** section to:

- Change their username or password;
- View (but not edit) the sponsored holder customer registered email address where they receive their email notifications; and
- View the last login IP address geo-location, based on their IP device type (Mac, Windows, internet browser).

Figure 10: CHESS statements portal – manage profile page



The screenshot shows the ASX CHESS Statements portal interface. At the top, there is a dark blue header with the ASX logo and the text 'CHESS Statements'. To the right of the header, the user's name 'PRAVEENRANJAN2' is displayed, along with a 'LOGOUT' button. Below the header, there is a navigation bar with two tabs: 'DOCUMENTS' and 'PROFILE'. The 'PROFILE' tab is currently selected. The main content area is divided into two sections: 'Login information:' and 'Notification:'. The 'Login information:' section displays the user's username 'praveenranjan2', a masked password '*****', and links to 'Change Username' and 'Change Password'. It also shows the user's last login details: 'User last logged in from: 49.3.37.27', 'Operating System: Windows 10', and 'Location: Sydney/2001'. The 'Notification:' section displays the user's email address 'p***t@p***y.com'. At the bottom of the page, there is a footer with the ASX logo and links to 'Terms of use', 'Privacy statement', and 'FAQs'.

View, search for and filter documents

Over time, customers will be able to view and download up to seven (7) years of their CHESS holding statements and notifications. The database of statements will commence being archived from go live of the portal. Historical statements, which are not available in the portal, can still be obtained using the current processes. The default view will

show them their past three (3) months of CHESS holding statements and notifications. They will be able to search, view, and download the past seven (7) years of documents using a date range-search.

Customers will also be able search and filter the documents using these fields:

- **Document date range** — ~~From date and To date, will enable a date range search; start date and end date;~~
- ~~Document type~~ — dropdown, exact match;
- **Issuer code** — free text, partial match; ~~and~~
- **Company name** — free text, partial match; ~~and~~
- **Document category** — dropdown, exact match.

~~Based on the search criteria, documents will be listed in a tabular format, and will include these fields:~~


- ~~Document name~~ — Issuer code (for CHESS holding statement) + document date (yyyymmdd) + 6-digit time stamp;
- ~~'Notif' + notification ID~~ (for CHESS notification) + ~~document date (yyyymmdd) + 6-digit time stamp;~~
- ~~Document date~~ — the document date as received in the data file;
- ~~Document type~~ — CHESS holding statement or CHESS notification;
- ~~Issuer code~~ — CHESS notifications which do not have an issuer code will be left blank; and
- ~~Company name~~ — CHESS notifications which do not have a company name will be left blank.

Based on the search criteria, documents will be listed in a tabular format, and will include the following fields:

- **Document number** — Reflects the alphanumeric identifier of the document. The document number format for Notification and Holding Statement categories are listed below:
 - **Notifications**
 - **'Notif' + notification ID** (for CHESS notification) + **document date (yyyymmdd) + 6-digit time stamp;**
 - **Holding Statements**
 - **Issuer code** (for CHESS holding statement) + **document date (yyyymmdd) + 6-digit time stamp;**
- **Document date** — the document date as received in the data file;
- **Issuer code** — Issuer Code associated with the Holding Statement. Documents with a Document Category of Notification will not have an Issuer code value and this field will be left blank;
- **Company name** — Name of the Issuer company associated with the Holding Statement. Documents with a Document Category of Notification will not have a company name value and this field will be left blank;
- **Document category** — The possible values are:
 - Holding Statement
 - Notification

To view the document, customers simply click the **document name**. Alternatively, they can choose one or multiple documents, and then click **download** to download a zip file of the chosen documents.

Figure 11: CHESS statements portal – view documents page


ASX CHESS Statements
{USERNAME}
[LOGOUT](#)

[DOCUMENTS](#)
[PROFILE](#)

Search statements and notifications history

From:

To:

Issuer code:

Company name:


Document category:

Select All

[Download Selected](#)

Search results

<input type="checkbox"/>	DOCUMENT NUMBER	DOCUMENT DATE	ISSUER CODE	COMPANY NAME	DOCUMENT CATEGORY
<input type="checkbox"/>	Notif_02_20200925_140411	25/09/2020			Notification
<input type="checkbox"/>	Notif_02_20200928_151116	28/09/2020			Notification
<input type="checkbox"/>	Notif_03_20200928_151116	28/09/2020			Notification
<input type="checkbox"/>	AMP_20200930_154013	30/09/2020	AMP	AMP Limited	Holding Statement


[FAQs](#)
[Privacy statement](#)
[Terms of use](#)

Password failure logout

When a customer fails to login on the third attempt, they will be navigated to the lockout screen and be locked out for ten (10) minutes. Each time a customer attempts to login during the lockout period, the lock out timer will be extended for another ten (10) minutes. A customer can remove the lockout by resetting their password through the “forgot password” flow.

Forgotten username and password

If a customer forgets their username, they can use their registered email address and HIN to retrieve it.

If the customer has forgotten their HIN or cannot access it, the screen will prompt them with a message to contact their sponsoring participant.

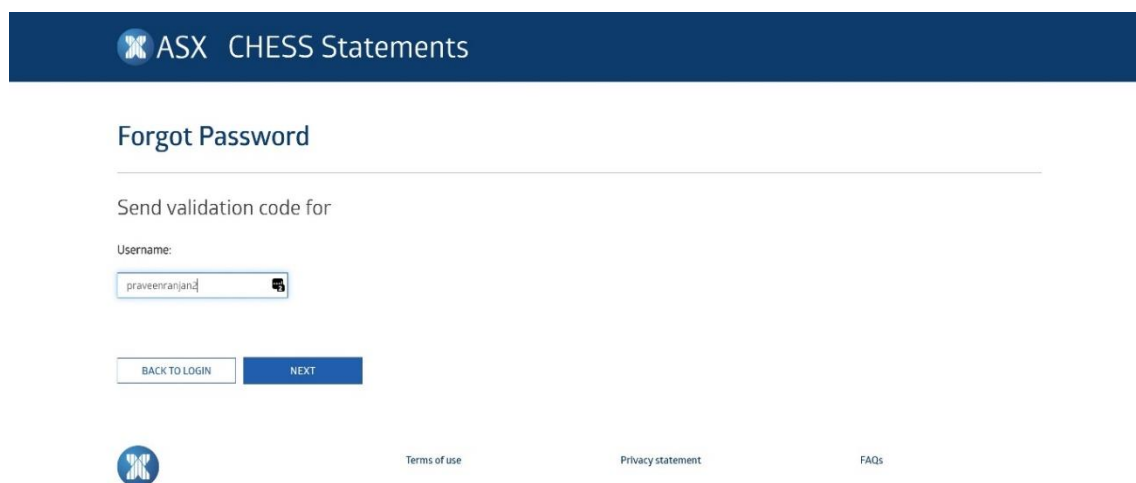
If they forget their password, they can use their username and registered email address to set a new one.

Creating a new password

Step 1 – Enter username

Customer navigates to the Forgot Password screen, then enters their username, and clicks **NEXT**.

Figure 12: CHESS statements portal – forgot password page




ASX CHESS Statements

Forgot Password

Send validation code for

Username:

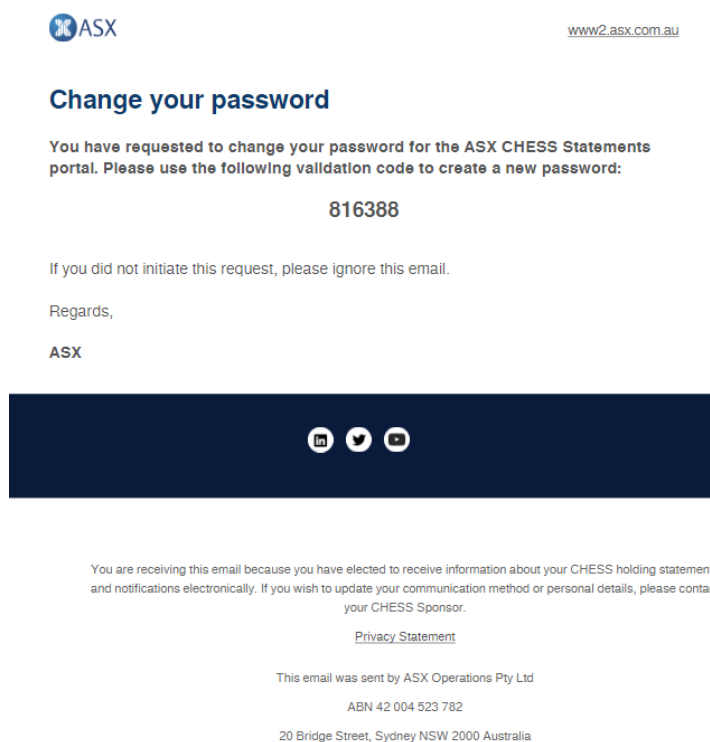
[BACK TO LOGIN](#) [NEXT](#)

 [Terms of use](#) [Privacy statement](#) [FAQs](#)

Step 2 – Receive validation code

When the customer enters the correct username for the email address, they will be sent a validation code.

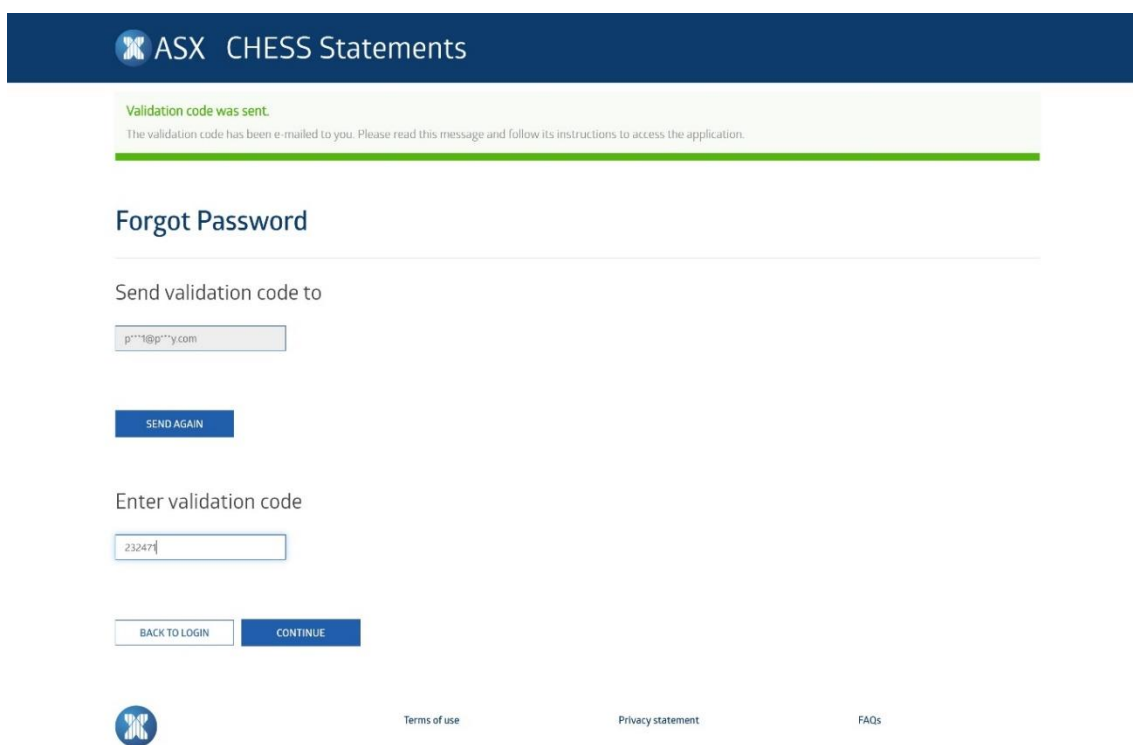
Figure 13: CHESS statements portal – change password email



Step 3 – Enter validation code

At the browser, the customer enters the validation code that they were sent. They can then change their password.

Figure 14: CHESS statements portal – enter validation code page



ASX CHESS Statements

Validation code was sent.
The validation code has been e-mailed to you. Please read this message and follow its instructions to access the application.


Forgot Password

Send validation code to

[SEND AGAIN](#)

Enter validation code

[BACK TO LOGIN](#) [CONTINUE](#)

 [Terms of use](#) [Privacy statement](#) [FAQs](#)