

# Service Description – Order Information Requests

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## Introduction

This document lays out the ASX Order Information Request service. Specifically, the circumstances for ASX Trade Participants to request order information and the processes ASX will follow in the provision of the requested information, on a best endeavors basis.

## Background

ASX may receive requests from market Participants to provide confirmation of active orders in the ASX Trade platform. Such requests may arise during a technical issue affecting Participants trading and confirmation systems, where all the existing means of obtaining the information have been exhausted, or an issue affecting the ASX Trade systems that is preventing them from accessing that information via the usual channels.

Whilst every effort is made to ensure the accuracy of any information provided to Participants, there could be circumstances that arise that prevent the ASX from accessing, collating or provisioning that information. . Alternatively, there may be an issue affecting the completeness of that information. In these circumstances ASX may confirm that requests for order information may not be fulfilled, or provided on the basis the information cannot be guaranteed to be complete.

This is important for Participants to consider in the event of an outage on the ASX Trade system, as the underlying cause of the outage could be related to the information in the order book, and investigative or recovery steps could be impacting ASXs ability to access or confirm order information. If order information is able to be provided, it will be in the form of a snapshot at the time of the request, so as such no guarantee can be provided that the information is accurate and 100% complete.

## Request process

In the event a participant or ASX system issue is preventing participants from retrieving trade information, a request sent to the Trading Operations team will be actioned on a best endeavors basis if it meets the following criteria:

- The request is received from an Authorised Signatory<sup>1</sup> for the Participant making the request
- The request includes the following information:
  - Trading PID (Participant Identification Number)
  - The date and timeframe of the requested order information is being requested
- Any verbal request is followed up with a confirmation via email

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<sup>1</sup> The link to the procedure for setting up and maintaining an Authorised Signatory can be found [here](#).



If these criteria are met, ASX will provide a file format of the requested order information in a .csv. The example format and information available in that file is detailed in **Appendix A** below.

Requests that do not meet the above criteria will not be actioned. It is recommended that Participants regularly review their Authorised Signature list to ensure it is up to date. Each Participant has a Firm Administrator in ASX Online that is authorised to maintain the Participants list.

Any requests for order information should be made first by phone, then via follow up email using the below contact details:

ASX Trading Operations – T: 1300 655 560 (+61 2 9256 0677) E: [tradingoperations@asx.com.au](mailto:tradingoperations@asx.com.au)

Requests for information will be actioned as soon as practicable, however in the event of an incident affecting the whole market, ASX could be experiencing a large volume of data requests which could lead to extended wait times for information.

#### Appendix A:

Order information requests will be provided in a .csv format with the below information included. A copy of a sample file can be provided upon request:

Column	Description	Example
Series	Series code	CBA
A/B	Ask or Bid	ASK
Volume	Volume	9045
Price	Price	130
Order ID	ASX Trade Order Id	68704GC3:0003DFB2
Info		
Client		ABC123
Brk	Broker PID	123
User	User Code	SSMF3
Market	Market Code (101, 102, 103 etc.)	101
Clearer	Clearing Code	2
Eot		
Cp		
Validity	Order Type (GTC, GFD etc.)	GTC
Time entered	Time of order entry	11:34.1



An example of the file that will be provided:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	Series	A/B	Volume	Price	Order ID	Info	Client	Brk	User	Market	Clearer	Eot	Cp	Validity	Time entered
2	CBA	ASK	9045	130	68703BC3:0003DFB2		TESTREF1	123	SSMF3	101	2			GTC	11:36.6
3	CBA	ASK	35500	105	6842D204:0013EA06		TESTREF1	123	SSMF3	101	2			GTC	11:35.8
4	CBA	ASK	22799	270	6887BA03:00521E7B		TESTREF1	123	WPH01	101	2			GTC	11:38.6
5	CBA	ASK	2500	520	67CCC104:000C5024		TESTREF1	123	SSMF3	101	2			GTC	11:34.8
6	CBA	BID	10000	305	68935F44:0047A23A		TESTREF1	123	WPH01	101	2			GTC	11:40.6
7	BHP	BID	10000	305	68935F44:00483CFA		TESTREF1	123	SSMF3	101	2			GTC	11:40.6
8	CBA	BID	10000	320	6894C744:005553F4		TESTREF2	123	WPH01	101	2			GFD(43)	11:41.7
9	BHP	ASK	5000	89	6894C741:001A5520		TESTREF1	123	WPH01	101	2			GTC	11:41.3
10	BHP	ASK	51734	115	68811741:0005600B		TESTREF1	123	WPH01	101	2			GTC	11:37.9
11	WBC	BID	19500	50	686D6E01:00300973		TESTREF2	123	WPH01	101	2			GTC	11:36.5
12	A2M	BID	2572	35	68935F41:0035BAB6		TESTREF1	123	WPH01	101	2			GTC	11:40.6

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