

From: Nathan Bourne
Sent: Monday, 16 November 2020 2:59 PM
To: @apra.gov.au; External - Waterford, Melisande; Tease, Warren; Hogan, Lauren; Marion Kohler ; BRISCHETTO, Andrea; KENT, Christopher; HARRIS, Sarah; BULLOCK, Michele; GIBSON, Matt; Barron, Christine
Cc: External - GREEN, Dodie; Andrew McPherson; Alex Orgaz-Barnier; Greg Yanco; Benjamin Cohn-Urbach; Cathie Armour; Tom Veidners
Subject: RE: ASX placed into trading halt today [SEC=OFFICIAL]

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Dear All, as an update to my previous email:

1. The ASX cash equity market will not be opening today, but they do plan to open tomorrow.
2. This will be communicated to market shortly (confidential until then).
3. This is an issue related to their vendor's software code – it is related to the [tailor made combinations](#) 'TMC' order type. The vendor is NASDAQ.
4. ASX will disable the TMC order type overnight until the solution is found (expected to be several days). This is not the first time TMCs have been involved in an outage (ie the last significant outage in 2016 also involved TMCs).
5. Opening the market today was not deemed a viable option and consistent with feedback from the market after the 2016 outage.

Kind regards

Nathan Bourne

Senior Executive Leader, Market Infrastructure

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2000



From: Nathan Bourne
Sent: Monday, 16 November 2020 11:32 AM
To: @apra.gov.au; Melisande Waterford ; Tease, Warren ; Marion Kohler ; Hogan, Lauren ; Andrea Brischetto ; Sarah Harris ; Matt Gibson ; Christopher Kent ; BULLOCK, Michele
Cc: Dodie Green ; Andrew McPherson ; Greg Yanco ; Alex Orgaz-Barnier ; Benjamin Cohn-Urbach

; Cathie Armour

Subject: ASX placed into trading halt today [SEC=OFFICIAL]

Dear All, this email is to inform you of market events today at ASX.

ASX trading in equities (including warrants) was halted today due to a system issue. We are maintaining close contact with the market operator, and market participants will be advised directly by the market operator when trading can resume.

Additional information

- Chi-X continues to remain open for equity trading
- The ASX conducted a trading system upgrade over the weekend
- **[Confidential]** ASIC has enacted its Significant Market Event Response Plan (SMERP)
- We will provide more detail through the appropriate contacts when it is available

Kind regards

Nathan Bourne

Senior Executive Leader, Market Infrastructure

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2000




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From: Dodie Green
Sent: Monday, 16 November 2020 6:29 PM
To: HARRIS, Sarah; GIBSON, Matt
Cc: External - BOURNE, Nathan
Subject: ASIC Media Release on ASX's Outage today [SEC=OFFICIAL]

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Hi Sarah and Matt,

Here's a link to ASIC's media release on ASX's outage today.

<https://asic.gov.au/about-asic/news-centre/find-a-media-release/2020-releases/20-284mr-asic-statement-on-asx-equity-market-outage/>

Speak tomorrow morning.

Cheers

Dodie

Dodie Green

Senior Manager, Market Infrastructure, Clearing and Settlement Facilities

Australian Securities and Investments Commission

Level 5, 100 Market Street, Sydney, 2000




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From: Val Mathews
Sent: Monday, 16 November 2020 6:56 PM
To: External - BOURNE, Nathan; Greg Yanco asic ; GIBSON, Matt; HARRIS, Sarah
Subject: ASX Market Outage - Media release and market notice

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All, please find below links to ASX media notice and market notice published today.

<https://asxonline.com/content/asxonline/public/notices/2020/nov/1469.20.11.html>

<https://www2.asx.com.au/content/dam/asx/about/media-releases/2020/message-from-asx-about-asx-trade-outage-16-november-2020.pdf>

Val Mathews | Executive General Manager - Operations
ASX Group | 20 Bridge Street | Sydney NSW 2000

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