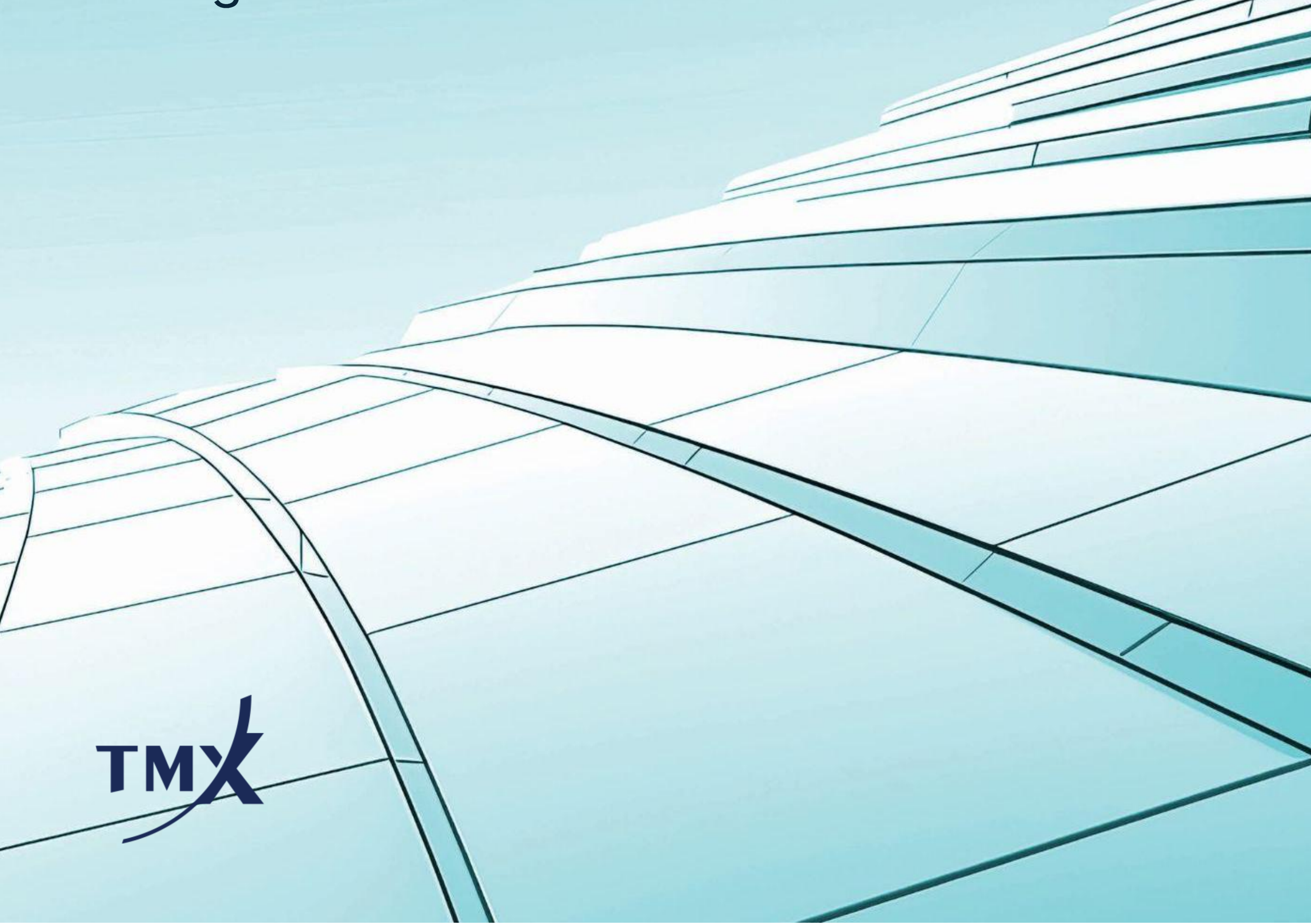
TMX AUSTRALIA EXCHANGE

# CXA Web Portal Specification

Version 1.0.5

3 August 2026



# Contents

# Introduction

### Overview & Access

The Customer Web Portal offers participants a wide variety of tools to manage their settings, access data, and submit changes. Participants are expected to use the portal to order physical (e.g., cross connects) and logical (e.g., BOE and FIX order entry) ports, retrieve invoices, create and maintain Market Maker registrations, retrieve daily trade data and monthly trade detail reports, and submit order entry certification scripts. The Portal also offers order lookup capabilities, port dashboards, latency statistics, and trade reporting.

General CXA Web Portal link: https://www.cboe.com/account/login/

Please ensure you select Australia Customer Portal from the dropdown.

Direct Australia portal link: https://www.tmxaustralia.com/account/login or https://accountau.cboe.com/account/login/

### Portal Account Privileges

Below is a list of available privileges for a portal account. Some tools listed below in the 'Member Tools' section are granted to all users and do not have an associated privilege below.

- Conformance Certification Tool
- Latency Dashboard
- Logical Port Request
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- Multicast Subscriptions
- Market Data Admin
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- Market Maker
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- Stats/Ranking
- BIDS Restricted Stock List
- Participant Files
- Issuer Tools

Account Creation and Updating Privileges

New Account Creation

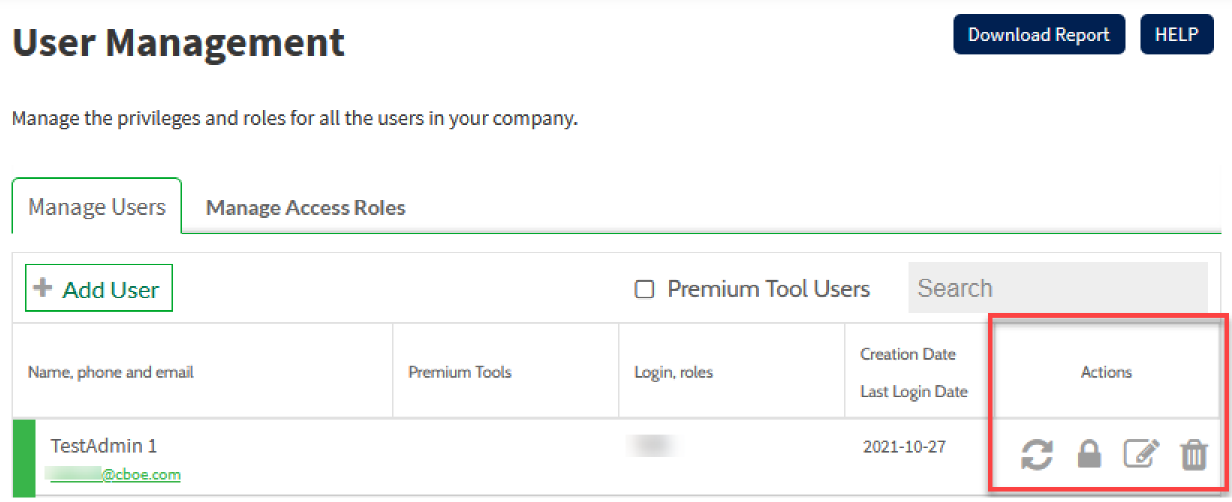
Designated account admins are responsible for managing their firm's portal accounts. Account Admins are initially designated by membership/registration upon setup. Subsequent admins can be entitled by an existing Admin within the firm. In the event a firm does not have an active/valid Account Admin, it may work with Membership Services (membership@cboe.com) to have a new Account Admin(s) established.

If needed, the AU Trade Desk (tradedeskau@cboe.com) can help determine a firm's Account Admins.

Account Admins can use the *User Management* tool to create, edit, or disable portal accounts for users at their firm. Each portal account defaults to showing all data related to the user's firm within the granted privilege list. Please contact the AU Trade Desk to update data restrictions for a given user's account.

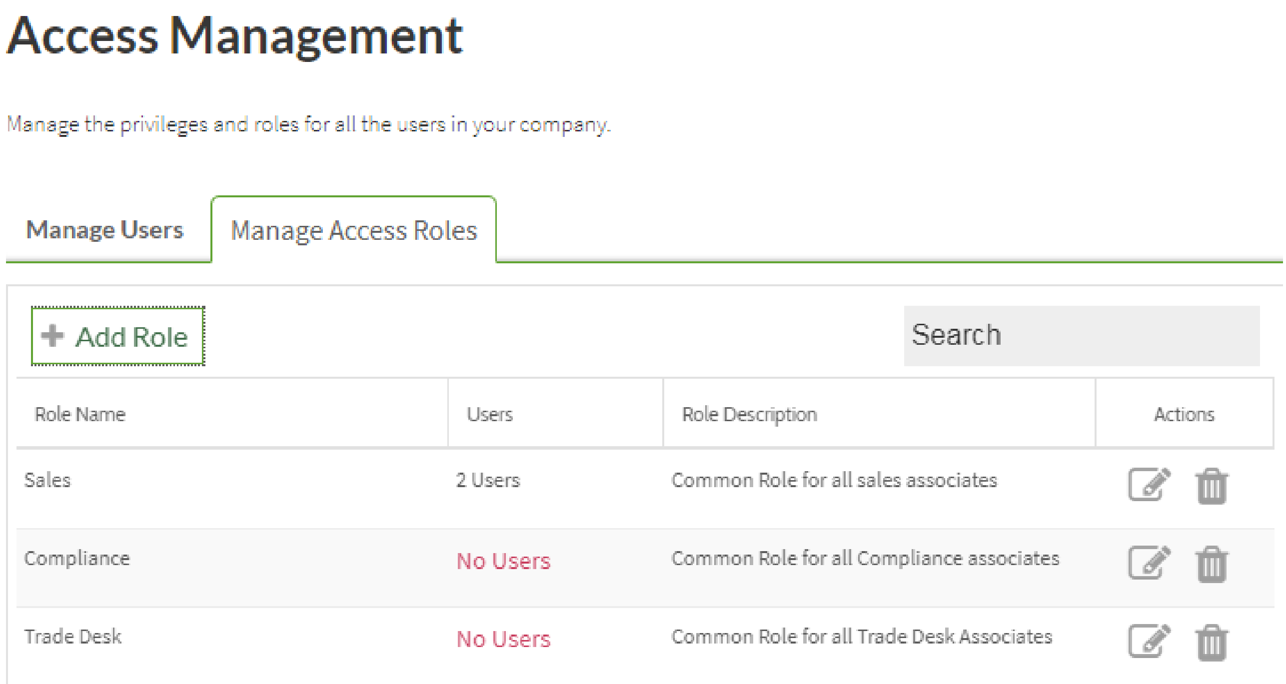
### Updating Account Privileges

From time to time, privileges may be added or removed from a portal account, or an individual account may need to be disabled. Account Admins can use the *User Management* tool to make any necessary updates to a user's portal account.




### Managing Roles for Users

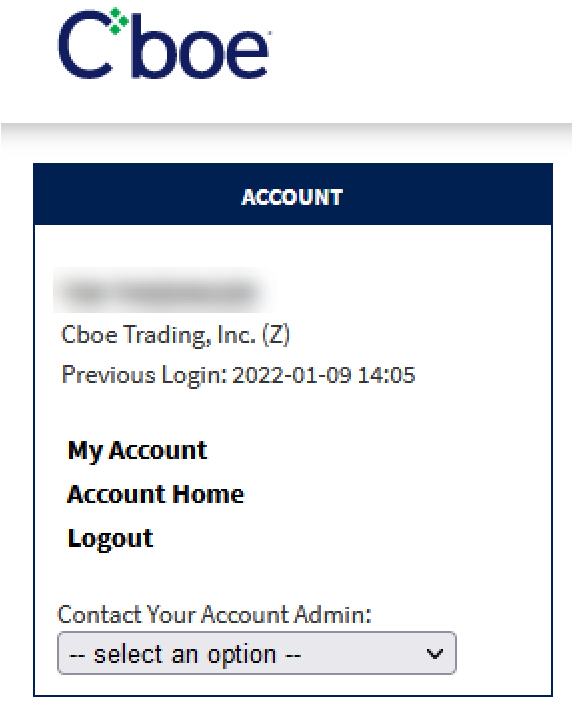
In addition to configuring individual users, Account Admins can establish Roles within the *User Management* tool. A Role is a set of pre-defined privileges which can be applied to a group of users within a firm. The Roles functionality assists Admins in quickly entitling users without the need to manually select each privilege for a new account. A user may have either a defined role or a custom list of selected privileges, but not both.



## Account

### General Information

The Account box on the left-hand side the home page contains the name of the user, the firm with which the user is associated, the previous login date, and a list of the user’s admin(s).




This information can be helpful as some users have multiple login ids associated with different participants within the CXA system.

My Account

My Account will show a new page containing information about the user and their account, including their username, first name, last name, and email address.

There is also a link at the top of the page where users can change their password.

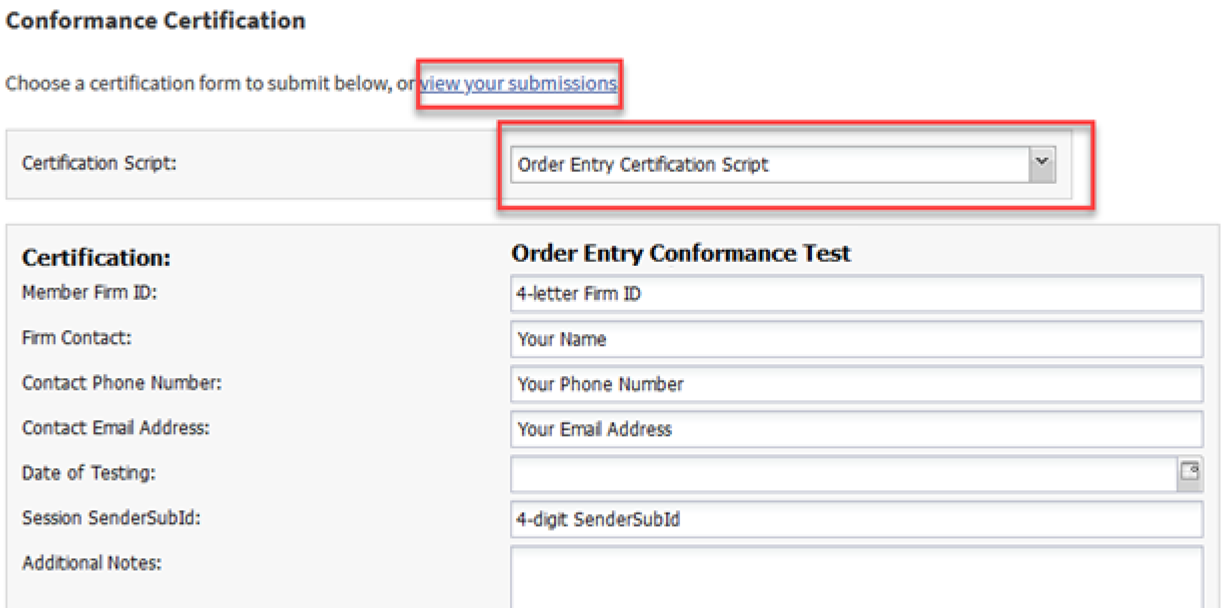
# Member Tools

### Account Home

At any time, click on the Account Home link to go back to the home page of the Portal.

### Conformance Certification Tool

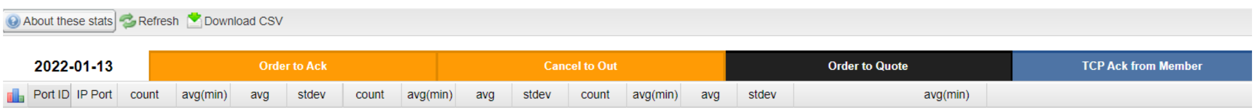
The Conformance Certification Tool is available to users who wish to complete one of the CXA requisite certifications. All certification scripts are available within the drop-down list. Follow the instructions as written and provide the values requested within the blank form. Once finished, click “Submit”. The AU Trade Desk will review your submission and may reach out for additional testing.  To check the status of a pending certification, click the “view your submissions” link.

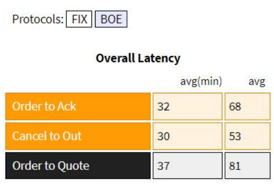


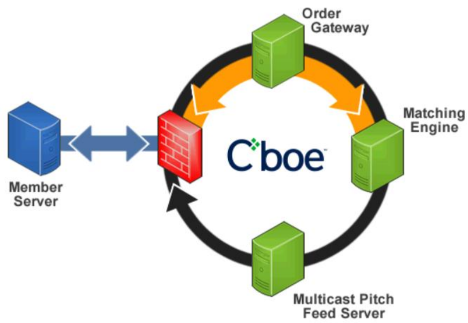

Upon successful completion or rejection of the script, click on any of the scripts to view notes added by AU Trade Desk personnel.

### Latency Stats

The Latency Stats tool shows a summary of latency statistics for FIX or BOE order entry ports. The latency is categorised into four sections: Order to Ack, Cancel to Out, Order to Quote, and TCP Ack from Member.



Click “About these stats” to get more information on each of the available statistics, or click on the graph next to each session to view latency information for each session on an individual basis.

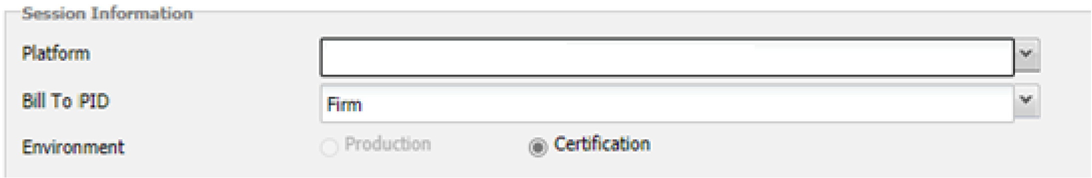
### Logical Port Request

The Logical Port Tool allows users to submit requests for new ports, modify existing ports, or delete existing ports on the CXA platform. Logical ports include order entry ports, drop ports, and market data ports.

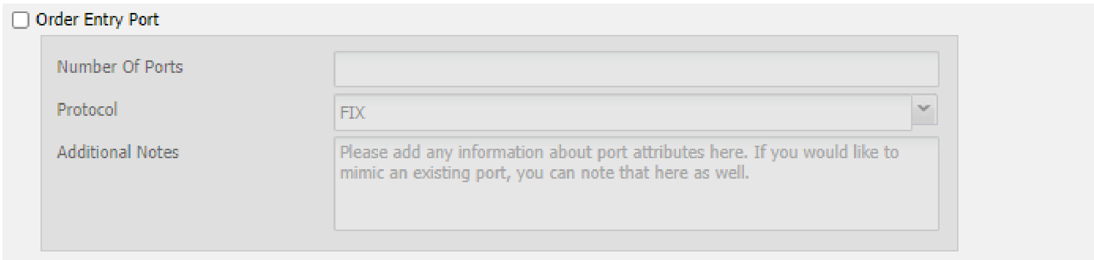

The *My Contact Information* is populated with the current user’s contact information when the page is first loaded. Additionally, a billing and technical contact (may be same as requestor) must be populated for documentation purposes.

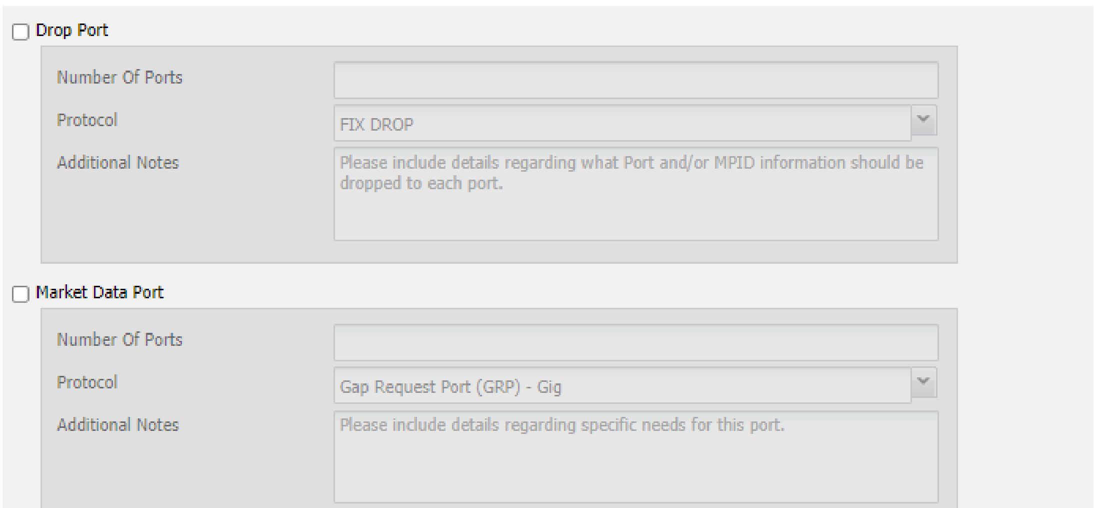
#### Requesting a new session

To submit a request to add a new session, specify both the trading platform and whether the new session is for the  Production or Certification environment.



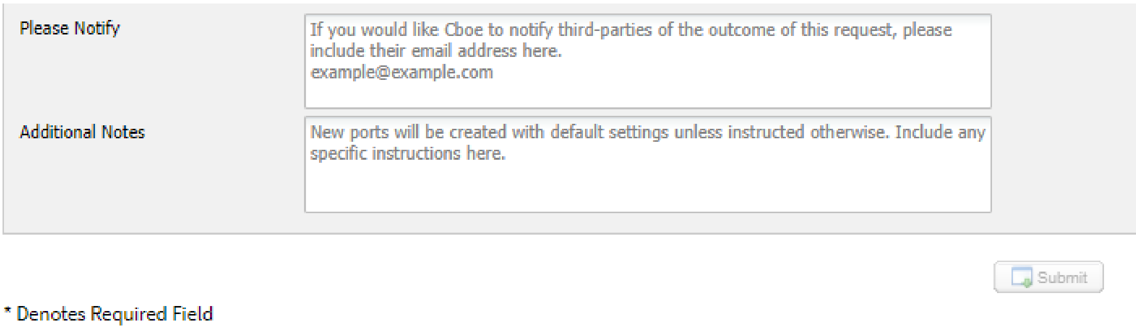

The final section asks the user to select the type of requested port.  Only ports which are supported on a platform will be available in the drop down.



At the bottom of the request form, users may add additional notes to the request. Notes should include any specific instructions (e.g., to clone the port attributes of an existing port or to enable a specific port attribute).

Once submitted, the request is handled by the AU Trade Desk. The AU Trade Desk will reply via email with the connection details for the new session(s). Newly created sessions are always available for the next trading day.




### Modifying a logical port

By default, all modifications are effective for the next day. If requested, some modifications can be made effective immediately. The AU Trade Desk will notify the user if any of the requested modifications cannot be made effective same day.

Any number of the listed sessions can be selected to be modified in the request. The desired modifications should be stated in the *Additional Notes* section.

Once submitted, the AU Trade Desk will respond with confirmation of the modifications.

### Deleting a logical port

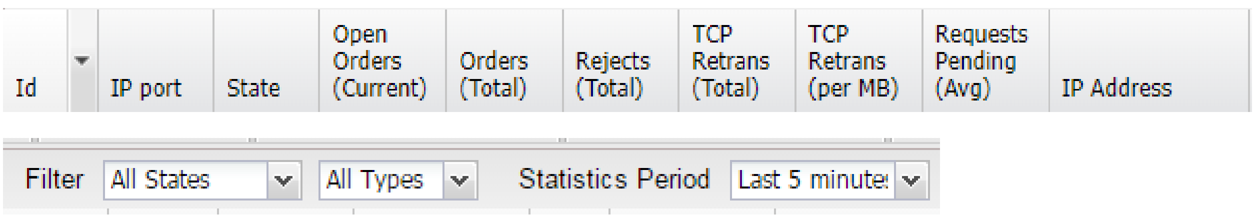
To submit a deletion request, fill out the contact information and select the port(s) to be deleted.  Users can then choose to provide additional email addresses to notify upon completion of the request as well as any additional notes.

The optional "Decommission Date (After close of business)" field allows logical port deletions to be schedulable up to two weeks in advance. If a decommission date is not specified, the logical port deletion will be effective for the current trading day after the close of business. On screen confirmation will be provided upon submission of a deletion request, and confirmation will also be provided by email after the request has been reviewed.

### Ports Display

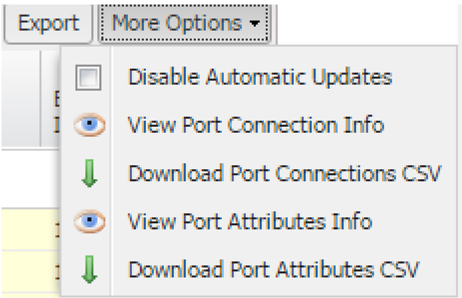
The Ports Dashboard shows information regarding a participant's logical ports. The dashboard displays the number of open orders, the number of rejects, and the total number of orders received. In addition, the last date of port connection will be shown.

### Filters and port information




Results can be filtered by port type (e.g., fix) and by state (e.g., active). The Active State filter displays only currently connected ports. The Inactive State filter displays only currently disconnected ports. Users can also filter information by time period. The filter can be set to 5 min, 10 min, 15 min, 30 min, 1 hour, 2 hours, or all day.

Users can view or download port connection information and all order entry port attributes from the tool.

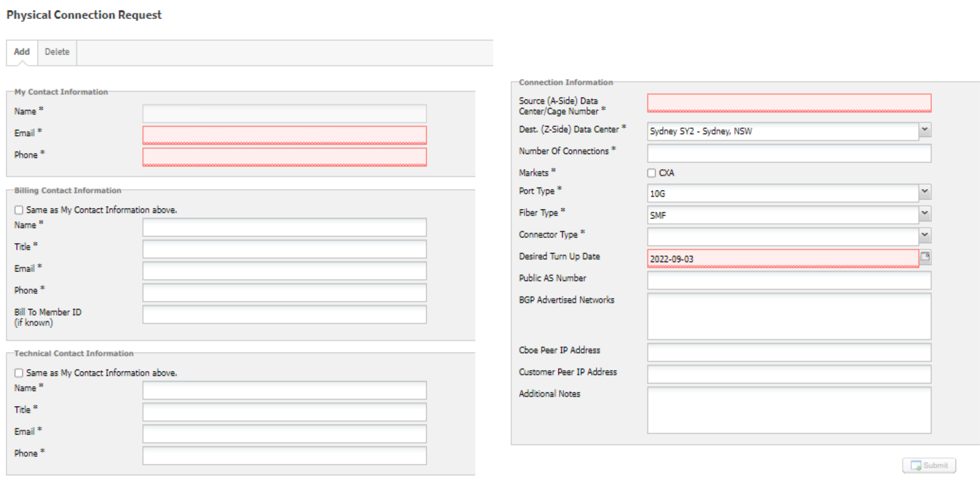



The Port Connection option shows connection details for the participant's sessions, including the IP address, CompID, and SubID. This information can be viewed in a pop-up window or downloaded in csv format.

The Port Attributes option shows current port attributes for each order entry session. More information on the settings can be found in the CXA FIX specification. The attributes can be viewed in a pop-up window or downloaded in csv format.

### Physical Connection Request

Like the Logical Port Request form, the Physical Connection Request allows users to request a physical connection to the CXA Platform. The first section is pre-populated with the user's information. Once the request is submitted, the CXA APAC NOC will confirm via email. Any physical connectivity inquiries should be directed to the CXA NOC team at nocapac@cboe.com.




### Physical Ports

The physical ports tool displays all physical connections to CXA.

## Physical Ports for [illegible]

Double click a row to see multicast subscription information for that connection.

| FIRM ID... | CO... | CONNEC... | DC | IP ADDRE... | TX... | RX... | BILL TO... | MAINTE... | MAINTE... |
|---|---|---|---|---|---|---|---|---|---|
| [illegible] | 1G | 219[illegible] | T2 | 10.193.[illegible] | | -7.99 | [illegible] | | |
| [illegible] | 1G | 219[illegible] | T2 | 10.193.[illegible] | | -8.06 | [illegible] | | |

The connection ID is the cable ID for the connection that the data centre provides once the initial cabling is complete. The data centre refers to the data centre where the connection resides. Our primary data centre is SY5. Our disaster recovery data centre is Global Switch, Pyrmont. The interface IP address is the address on the interface device. The billing start and end dates denote the billing period for a physical connection.

Double click a connection to display the market data subscriptions that flow over it.

See [CXA Connectivity Manual] for more information on Physical Connectivity.

Multicast Subscriptions

## Multicast Subscriptions for CTST

| FIRM ID | CONNECTION ID | FEED ID | FEED | SPECIFICATION |
|---|---|---|---|---|

The multicast subscriptions tool shows a list of multicast market data feeds and the physical connection on which that subscription flows.

The feed matches the feed name in the appropriate market data technical specification. The connection ID is the cable ID provided by the data centre. The user may sort by feed or connection ID column headers.

### Market Data Applications

Market data admins at existing CXA participants can complete an application requesting new market data feeds/services here.

### Data Product Declaration

Users with the Market Data Admin privilege can use the Data Product Declaration tool to report required usage and distribution information for CXA Market Data.

### Short Sale Submission Facility

This facility allows Participants to report short sale positions from the previous business day for products uniquely quoted on CXA. Note that participants lodging short sale reports with CXA must satisfy themselves that the information they are providing fulfills their short sale obligations under the Corporations Act 2001 (Cth).

## Exchange Tools

### Order Lookup

The Order Lookup tool allows users to find orders(s) by date and time. The search can be broad or narrow and will return all accepted orders matching the search criteria. At least three fields must be populated, and it is highly recommended to use a time range of <15 minutes to return the query quickly.

Once the search is complete, the results will be displayed on the Job Queue page. Click 'View' to display the results of your search.

### Trade Data

The Trade Data tool provides a list of executions by PID in a csv formatted file. This data can be pulled by a customer for the previous 28 business days and can also be provided for an extended date range upon request to the AU Trade Desk. The files provide near real-time trade information.

**By default, a user will see all data for that user's firm (all Trading PIDS).** Contact the AU Trade Desk to restrict visibility.

### Trade Data/Trade Detail File Format

The Daily Trade Data and Monthly Trade Detail files are described below. Fields not applicable for a specific trade will be blank.

| Column Position | Column Header | Sample Value | Description |
|---|---|---|---|
| 1 | Trade Date | 20210503 | Calendar day of the trade. |
| 2 | Trade Time | 09:30:04 | Matching Engine time (AET) of the trade |
| 3 | Sending Firm | ABCD | 4 alpha character firm ID of the port owner. |
| 4 | Session Id | 0001 | 4 digit sub ID of the port. |
| 5 | Client Order Id | A23456789 | Client Order Id provided by the firm. |
| 6 | Order Id | W5FYFLTRXGDC | Order Id assigned by Exchange. |
| 7 | Execution Id | 0W9W00002 | Execution ID assigned by Exchange. |
| 8 | Trading PID | 1234 | Identifies the 4 digit Trading PID that initiated the trade. |
| 9 | Clearing PID | 33221 | Identifies the 5 digit Clearing PID |
| 10 | Symbol | BHP | Exchange generated Symbol. |
| 11 | Side | Buy | The side of the trade. |
| 12 | Price | 19.63 | Execution Price. |
| 13 | Quantity | 50 | Number of shares traded. |
| 14 | Total Consideration | 981.50 | Price x Quantity. Total value traded. |
| 15 | Order Capacity | A | The capacity of the order. A full list of capacity values can be found in the CXA FIX Specification by referencing FIX Tag 47. |
| 16 | Liquidity | R | The liquidity of the execution. A full list of liquidity values can be found in the CXA FIX Specification by referencing FIX Tag 9730. |
| 17 | Subliquidity | m | The subliquidity of the execution. A full list of subliquidity values can be found in the CXA FIX Specification by referencing FIX Tag 9730. |
| 18 | Fee Code | X | Fee Code for the execution mapped to Fee Schedule. |
| 19 | Base Rate | .0010 | The base rate charge or rebate for the transaction. |
| 20 | Access Fee | .05 | Base Rate x Size. |
| 21 | Trade Report Type | B | Off Exchange Trade Report Type. A full list of values can be found in the CXA FIX Specification by referencing FIX tag 8181. Blank if not applicable. |

| Column Position | Column Header | Sample Value | Description |
|---|---|---|---|
| 22 | Trade Report Execution Venue | ABCD | Execution Venue to identify participant crossing system or dark pool of trade report. See FIX tag 4805 CXA FIX Specification for more details. Blank if not applicable. |
| 23 | Contra Firm | 9876 | The 4 digit Trading PID of the counter party on the trade for attributed symbols only. |
| 24 | Invoiced To | 1234 | PID that is billed for the transaction fees. |

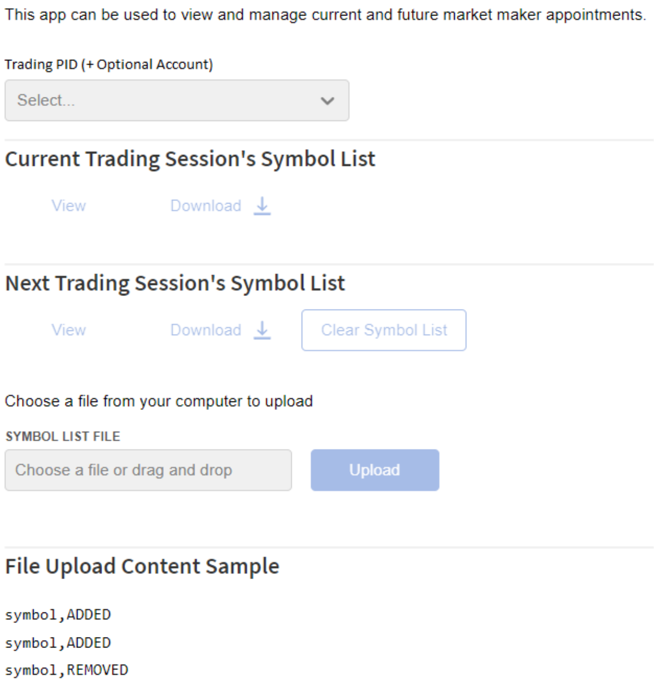
### Market Maker Registration

The Market Maker tool provides participants the ability to upload a csv formatted symbol list. This must be completed by 9:30 a.m. AET, or the changes will be effective for the following trading day.

Participants may register in CXA listed products via the tool. However, should they wish to deregister, they must contact the AU Trade Desk (tradedeskau@cboe.com).

### Market Maker Performance Reports

Downloadable market maker performance reports are available for participants to track core metrics in relation to program requirements.




### Invoices and Files

To view invoices and the corresponding monthly trade detail files, the user must have access to both the ‘Billing Files’ and ‘Invoices’ privileges. Monthly trade detail files retain the same format as the Daily trade data files.

The “Email Invoice” privilege can be enabled for a user to ensure each monthly invoice is sent via email once generated.

### Trade Cancellation Request

The Trade Cancellation Request form is used to request a voluntary adjustment or cancellation of a trade. The form is also available via the public website. A history of all submissions via the Web Portal are available within the tool.

### Stats and Ranking

The Stats and Ranking tool allows Participants to see volume statistics and overall ranking of their firm for a given day on the CXA platform.

### BIDS Restricted Stock List

CXA BIDS customers can upload a RSL (Restricted Stock List) for each of their PIDs here. The RSL only impacts the member's trading on the BIDS platform.

### Participant Files

The Market Share Report and Broker Trade Report files are available to Participants and vendors only. As a result, only users with a CXA Web Portal account associated with a known Participant or Vendor will be provided with the ability to download these files. Automation of these downloads using WGET (or similar software) is easily accommodated within the CXA Customer Web Portal. A sample WGET command to retrieve a Market Share Report is included below.

wget --tries=1 --http-user=myusername --http-password=mypassword --auth-no-challenge -O your_filename.csv "https://URL_TBD"

Issuer Announcements are submitted by issuers and posted to the CXA Customer Web Portal as well as to the CXA Public Website. A file containing URLs for every document currently available will be provided for client automation.

See Guide to Reference Data Files for more information on Participant Reports.

## Issuer Tools

### Issuer Announcements

Quoted fund product issuers must submit each disclosure document required under the Operating Rules, etc. to the Issuer Announcements tool in accordance with the instructions specified on the tool. CXA will then publish the document to the Issuer Announcements webpage.

If the Issuer Announcements tool is unavailable, the product issuer must email each disclosure document as a single PDF file to au.announcements@cboe.com. The subject of the email will be published as the title of the disclosure announcement.

Warrant product issuers must email each disclosure document required under the Operating Rules, etc. as a single PDF file to au.announcements@cboe.com. CXA will then publish the document to the Issuer Announcements webpage. The subject of the email will be published as the title of the disclosure announcement.

### Issuer Unit Reporting

Quoted fund product issuers with a direct OTC creation/redemption model (dual access) must report the quantities of the quoted units (on exchange) and unquoted units (off exchange) on the Issuer Unit Reporting tool in accordance with the instructions specified on the Tool.

If the tool is unavailable, the product issuer must email the quantities to tradedeskau@cboe.com.

**Revision History**

| Document Version | Date | Description |
|---|---|---|
| 1.0.0 | 22/04/22 | Initial version. |
| 1.0.1 | 31/08/22 | Removed Trade Reporting as it will only be allowed via FIX.<br>Added Short Sale Submission Facility (4.11).<br>Added future dated logical port deletion functionality.<br>Clarification of roles vs. privileges.<br>Trade data removal of Exchange Code: CXA and Contra OrderID along with minor description change of contra fields.<br>Historical data products removed and moved to CXA Datashop.<br>Added Market data applications tool.<br>Added portal access URL.<br>Added Participant Files section.<br>Added Issuer Tools for Warrants Interface and Units Reporting.<br>Added Market Maker Reports. |
| 1.0.2 | 10/11/23 | Added new Issuer Tools sections 6.1 and 6.2. |
| 1.0.3 | 19/04/24 | Renamed “Invoices and Files” and “Billing” privileges to “Billing Files” and “Invoices”, respectively. |
| 1.0.4 | 11/02/25 | Updated with CXA Titanium branding. |
| 1.0.5 | 03/08/26 | Rebrand |

## Contact us for more information

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