

Stakeholder Feedback and ASX Response – Demand Reporting

Table of Contents

- [Stakeholder Feedback and ASX Response](#)
- [Demand Reporting](#)

Stakeholder Feedback and ASX Response

ASX values the feedback it receives from stakeholders to determine the optimal solution design for each new business requirement. As part of its stakeholder engagement process, ASX has published a summary of the feedback it has received from stakeholders from the relevant Focus Groups and ISO 20022 Technical Committee meetings on the solution design of this new functionality.

This feedback is presented in the form of a table, and lists the key topics raised by stakeholders across both forums. The table provides a summary of stakeholder feedback and ASX's response to that feedback, highlighting where relevant the evolution of the functional specifications of each new business requirement based on stakeholder feedback and further analysis done by ASX. While ASX has considered the issues, comments and suggestions made by each impacted stakeholder, the differing and at times conflicting needs of various stakeholder groups mean that final functional specifications may not support suggestions received or retain aspects notwithstanding concerns raised.

The table does not identify any organisation or individual who raised a particular topic or question for discussion, nor does it intend to capture individual responses received from stakeholders; rather it is intended to be a summary only.

Demand Reporting

Focus Group	21 November 2019 10 March 2020
Technical Committee	26 November 2019 28 January 2020
Number of respondents	6
Related presentation materials	https://www.asx.com.au/services/iso20022-technical-committee.htm

Topics	Stakeholder Feedback	ASX Response
Holder and Holding Enquiries	<p>Participants and Issuer Registries were generally supportive of:</p> <ul style="list-style-type: none"> • the proposal for ad-hoc "active state" reporting requests; and • proposed reporting parameters. <p>A Participant and an Issuer Registry requested ASX make Cum Entitlement Balance (CEB) and Holding Balance (HBL) historical reporting available via ISO 20022.</p> <p>Issuer Registries also requested CEB reports be made available as an unsolicited report.</p>	<p>As a result of the feedback, ASX will support:</p> <ul style="list-style-type: none"> • CEB and HBL reports with an "as at date"; and <p>For CEB reports:</p> <ul style="list-style-type: none"> • as unsolicited reports for Issuer Registries; and • on an ad-hoc basis for other Participants. <p>Both of the CEB and HBL reports will be available via ISO 20022, Ledger API and Browser.</p>
Transaction History and Obligations	<p>A Participant noted that for reconciliation purposes the Counterparty Funds Balance (CFB) report should be supported and requested that the data be obtained at a point in time when transactions are not being processed i.e. after end of day.</p>	<p>As a result of feedback received; ASX will support:</p> <ul style="list-style-type: none"> • the CFB report via ISO 2002, Ledger API and Browser; and • the report will continue to be an "on demand" report as currently provided in CHES.

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<p>Movement and Balance Reports</p>	<p>Issuer Registries were supportive of the proposal for CMV, HMV, TCB, TSB reports to become unsolicited reports; requesting ASX to support ad-hoc historical request for CMV and HMV Reports</p> <p>Issuer Registries requested that an “end of reporting” message continue to be supported as this is a useful system trigger indicating ASX reporting is complete.</p> <p>One software vendor requested confirmation for all reports to be accommodated under this solution.</p>	<p>As a result of the feedback, ASX will:</p> <ul style="list-style-type: none"> • support CMV and HMV reports being requested on an ad-hoc historical basis; and • retain the “end of reporting” message.
<p>De-scoped Reports</p>	<p>ASX proposed de-scoping the following reports in the Focus Group meeting 21 November 2019, the Technical Committee Meeting 26 November 2019 and the Technical Committee Meeting 28 January 2020:</p> <ul style="list-style-type: none"> • OSL, PFD, PFH, USD, USH, CSD, CST, FLN; and • DSR, FHT, HLH, HSP, HTX, OBL, PPS, RPD, SET, SMP, SMR, TSH. <p>In addition, in the following reports were proposed to be de-scoped in the Technical Committee 28 Jan 2020, the following reports will be de-scoped (based on zero observed usage and member feedback):</p> <ul style="list-style-type: none"> • CSI, FGM, FSI, HCT, RAC, SCE, TPB, TPD, URT, USI. 	<p>Members were supportive of the proposal to de-scope the proposed reports.</p>
<p>Statement Requests – future functionality</p>	<p>One software vendor requested confirmation of the future solution to allow them to scope their build.</p>	<p>The solution is currently under analysis pending outcomes from the e-statements working groups.</p>
<p>Projected Reporting</p>	<p>CHES currently provides reports on the morning of settlement ('S') pertaining to projections for Batch Settlement:</p> <ul style="list-style-type: none"> • EIS 300 – Participant Funds Notification; • EIS 302 – Payment Provider Funds Notification; • EIS 148 – Projected Cum Entitlement Position; • EIS 150 – Projected Funds Obligation; and • EIS 152 – Projected Holding Position. <p>ASX sought feedback from members of the Technical Committee and ESPPSC to ascertain whether these reports are utilised by members and should be carried forward to CHES Replacement.</p> <p>It was noted that if settlement instructions are received between 'S' start of day and actual batch settlement, the projections carried in these reports are no longer accurate.</p> <p>Technical committee members noted that the Projected Cum Entitlement Position, Projected Funds Obligation and Projected Holding Position reports are not used can be de-scoped.</p> <p>ESPPSC members advised that while there may be changes to the projected figures, the rationale for the reports remains, with members noting that the Participant Funds Notification and Payment Provider Funds Notification reports are used for cash projections, liquidity management and exception handling processes and should be retained.</p>	<p>As a result of the feedback, ASX will provide the following messages in ISO 20022 form in the CHES Replacement system:</p> <ul style="list-style-type: none"> • EIS 300 - Participant Funds Notification; and • EIS 302 - Payment Provider Funds Notification. <p>De-scope the following messages:</p> <ul style="list-style-type: none"> • EIS 148 – Projected Cum Entitlement Position; • EIS 150 – Projected Funds Obligation; and • EIS 152 – Projected Holding Position.

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