



ASX CHESS Replacement

ISO Design Working Group

10 December 2024



Acknowledging Country

ASX acknowledges the Traditional Owners of Country throughout Australia. We pay our respects to Elders past and present.

Artwork by Lee Ann Hall, *My country My People*

Housekeeping

Troubleshooting

- > Please mute yourself when not speaking
- > Please use the 'raise hand' feature on MS Teams if you would like to ask a question
- > Please introduce yourself when talking for the benefit of all members
- > Dial in details (audio only):
 - +61 2 7208 4607
 - Phone Conference ID: 696 245 360#
- > Presentation materials were distributed before the meeting and will be published on the website

Important Information

Competition Law Reminder

Workshop members are reminded to have regard to their obligations under competition law. In particular, please note that the Competition and Consumer Act prohibits a corporation from engaging with one or more persons in a concerted practice that has the purpose, effect or likely effect of substantially lessening competition.

Agenda

01 Welcome and Opening Remarks

02 Release 2 – Roadmap

03 Feedback and ASX Responses

04 Message Consolidation

05 Annotations

06 Holding Reports & Accounts

07 Next Steps

08 Forward Engagement Plan and AOB

01

Welcome and Opening Remarks

02

Release 2 – Roadmap

02 – Revised Release 2 Drop Roadmap

	Drop 1	Drop 2	Drop 3	Drop 4	Drop 5
Feature Scope	<ul style="list-style-type: none"> > Participant and registry/issuer Setup > Accounts and investor data > Holdings > Unilateral demand transfers > Account and holding reporting 	<ul style="list-style-type: none"> > Trade registration & netting > Settlement instructions > Batch settlement (excluding payments) 	<ul style="list-style-type: none"> > Payments with limits > Issuer sponsored processes > Holding adjustments > Cum entitlement balance reporting > Claims and adjustments 	<ul style="list-style-type: none"> > Change of controlling participant & portfolio transfer > Batch exceptions (including default management and backout) > RITS integration(s) 	<ul style="list-style-type: none"> > ETO/CMM collateral > Daily margin advice > Offer administration facility > Corporate action elections without payment > Corporate action elections with payment
User Journeys	<ol style="list-style-type: none"> 1. Participants can test the full account lifecycle (create & update, lock and cancel) and communication of investor data 2. Participants can perform simple transfers between accounts they administer 3. Registries can receive account and holding-related reports 	<ol style="list-style-type: none"> 1. Participants can receive market trades in ISO20022, novate, net and schedule for settlement 2. Participants can match and schedule settlement instructions 3. Participants can settle instructions in a daily batch (excluding payment provider and payment services flows), including unit failure 	<ol style="list-style-type: none"> 1. Payment providers can manage payment facilities, authorise funds and utilise cash limit tracking 2. Participants and Registries can test issuer sponsored flows 3. Registries can process corporate actions including performing holding adjustments 4. Participants and Registries can receive corporate actions reporting 5. Participants obligations are adjusted to account for fails 	<ol style="list-style-type: none"> 1. Participants can perform change of controlling participant and portfolio transfers 2. Participants and ASX can test batch exception processes (such as default management, backout, extension and cancellation) 3. ASX and RBA can commence testing of RITS integration(s) 	<ol style="list-style-type: none"> 1. Participants can lodge non-cash collateral and ETO cover and adjust margin 2. Participants and Registries can test takeovers and buybacks 3. Participants and Registries can test option elections without payment (DRP/BSP) 4. Participants and Registries can test option elections with payment (Rights, SPPs)



Indicative Roadmap – Subject to Change

03

Feedback and ASX Responses

03 – Feedback

A total of 15 feedback items received by Industry in MyStandards

Message Versions

- > Industry supportive of resetting ISO message versions to 01 for CHES Replacement Project

Annotations & ASX Business Service

- > ASX Element Name & EIS Bit Position will be discussed further at ISO Design Working Group
- > Message consolidation approach will be discussed further at ISO Design Working Group

Business Message Envelopes

- > Supportive with the structure presented at the 29 October ISO Design Working Group meeting

Business Application Header (BAH) (comm_801)

- > Industry supportive of the removal of the vertical pipe (“|”) within Transaction Identifier
- > Time Zone – will be populated with the local timestamp
- > Additional participant identifiers (i.e BIC) has been escalated to the Technical Committee for a decision (refer to next slide)



ASX responses to Feedback received via MyStandards will be shared with Working Group Members following the Working Group.

03 – Feedback - Participant Identifications

ASX's Recommendation

- > Both UIC and BIC will be supported within the message schema
- > CHES Replacement solution will only support a single identifier, UIC
 - Alignment to the TCS BaNCS product, which only supports a single identifier
 - Reduces complexity in the solution to only support a single identifier
 - AMQP will be the only message channel supported for ISO20022 for CHES Replacement.

Next Steps

- > Feedback received via the ISO Working Group wanted ASX to consider the usage of BIC in addition to UIC
- > ASX is currently reviewing feedback and is proposing a deep dive on this topic at the next Technical Committee in February where potential solution options (technical and non-technical) will be provided to Technical Committee Members for consideration and feedback.

04

Message Consolidation

For discussion

04 – Consolidation - Business Service

Business Service: Common Practice in ISO 20022

- > Widely used to differentiate processes using the same ISO message
- > Enables flexible implementation and versioning independent of the core message format

Business Service Usage: CBPR+ (Cross-Border Payments and Reporting Plus)

- > A global effort led by SWIFT to migrate cross-border payments to ISO 20022 by 2025
- > Leverages the Business Service concept to differentiate multiple processes using the same message and version control

pacs.008: Differentiated by assigning distinct Business Services and creating 2 Usage Guidelines (UGs)

- > pacs.008.001.08(core): swift.cbprplus02
- > pacs.008.001.08 (STP/ STP EU): swift.cbprplus.stp.02

pacs.009: Differentiated by assigning distinct Business Services and creating 3 Usage Guidelines (UGs)

- > pacs.009.001.08 (core): swift.cbprplus.02
- > pacs.009.001.08(advice): swift.cbprplus.adv.02
- > pacs.009.001.08 (cov): swift.cbprplus.cov.02

pacs.010: Differentiated by assigning distinct Business Services and creating 2 Usage Guidelines (UGs)

- > pacs.010.001.03 (core): swift.cbprplus.02
- > pacs.010.001.03 (Margin Collection): swift.cbprplus.col.01

More information page 34:

https://www2.swift.com/mystandards/res/cbpr/ISO_20022_Programme_UHB_SR2024_v1.0.pdf

Message Definition Identifier	Business Service
pain.001.001.09	swift.cbprplus.02
pain.002.001.10	swift.cbprplus.02
pain.008.001.08	swift.cbprplus.01
pacs.002.001.10	swift.cbprplus.02
pacs.003.001.08	swift.cbprplus.01
pacs.004.001.09	swift.cbprplus.02
pacs.008.001.08	swift.cbprplus.02
pacs.008.001.08 (STP/STP EU)	swift.cbprplus.stp.02
pacs.009.001.08 (advice)	swift.cbprplus.adv.02
pacs.009.001.08 (core)	swift.cbprplus.02
pacs.009.001.08 (cov)	swift.cbprplus.cov.02
pacs.010.001.03	swift.cbprplus.02
pacs.010.001.03 (Margin Collection)	swift.cbprplus.col.01
camt.029.001.09	swift.cbprplus.02
camt.052.001.08	swift.cbprplus.02
camt.053.001.08	swift.cbprplus.02
camt.054.001.08	swift.cbprplus.02
camt.055.001.08	swift.cbprplus.01
camt.056.001.08	swift.cbprplus.02
camt.057.001.06	swift.cbprplus.02

04 – Consolidation - Business Service

Business Service Usage: Bank of England

- > A global effort led by SWIFT to migrate cross-border payments to ISO 2022 by 2025.
- > Leverages the Business Service concept to differentiate multiple processes using the same message and version control.

admi.004: Differentiated by assigning distinct Business Services and creating 2 Usage Guidelines (UGs).

- > admi.004.001.02(qbk): boe.chaps.qbk.01
- > admi.004.001.02(sts): boe.chaps.sts.01

camt.054: Differentiated by assigning distinct Business Services and creating 4 Usage Guidelines (UGs).

- > camt.054.001.08 (dbt): boe.chaps.dbt.01
- > camt.054.001.08 (cdt): boe.chaps.cdt.01
- > camt.054.001.08 (pre): boe.chaps.pre.01
- > camt.054.001.08 (can): boe.chaps.can.01

pacs.009: Differentiated by assigning distinct Business Services and creating 2 Usage Guidelines (UGs).

- > pacs.009.001.08 (enh): boe.chaps.enh.01
- > pacs.009.001.08 (cov): boe.chaps.cov.01

Message Definition Identifier	Usage Identifier (contained in the Business Service element)	Original MT Equivalent
admi.004.001.02	boe.chaps.qbk.01	MT 298/003
admi.004.001.02	boe.chaps.sts.01	MT 298/004
camt.052.001.08	boe.chaps.01	MT 298/010
camt.053.001.08	boe.rtgs.01	MT 950
camt.054.001.08	boe.chaps.dbt.01	MT 298/011
camt.054.001.08	boe.chaps.cdt.01	MT 298/012
camt.054.001.08	boe.chaps.pre.01	MT 298/013
camt.054.001.08	boe.chaps.can.01	MT 298/014
camt.060.001.05	boe.rtgs.01	MT 920
head.001.001.02	boe.chaps.01	n/a
mirs.095.001.01	boe.chaps.01	MT 298/095
pacs.002.001.10	boe.chaps.01	MT 012 & MT 019
pacs.004.001.09	boe.chaps.enh.01	MT 202 Return
pacs.008.001.08	boe.chaps.enh.01	MT 103
pacs.009.001.08	boe.chaps.enh.01	MT 202
pacs.009.001.08	boe.chaps.enh.cov.01	MT 202 COV

04 – Consolidation

Consolidation Approach

- > **Balanced Approach:** Focus on areas where consolidation is practical and beneficial
- > **Complexity Management:** Extensive business rules require detailed documentation
- > **Impact on Business Processes:** Processes using ISO 20022 for the same participant and business area (eg Settlement) can be consolidated.
 - Eg Transfer and Conversion: Requires segregated usage guidelines due to different user and flows (matching x approvals)
- > **System Alignment:** Consolidation aligns with BaNCS system architecture for seamless integration
- > **Segregated Business Areas:** Supports interoperability (Clearing, Settlement, Depository) without disrupting processes.

Consolidation Principles

- ✓ Avoid complex business rules
- ✓ Production updates won't impact other users or processes
- ✓ Do not consolidate processes with different flows (eg approvals, rejections)
- ✓ Align consolidation with BaNCS system features
- ✓ Align consolidation to maintain interoperability (CCP, SSS and CSD).

05

Annotations

For discussion

05 – Annotations

Safekeeping Account	1	1	
Identification	1	1	ABC 123
Settlement Parameters	1	1	
Delivering Settlement Parties	1	1	

Annotations

ASX Message Element Specification

- ASX Element Name: Delivering Account Identifier
- ASX Element Definition: The Identifier of the Account from which the securities are to be delivered.
- EIS Bit Position: 51
- EIS Field Name: Securityholder Reference Number

Safekeeping Account	0	1	
Identification	1	1	ABC 123
<input checked="" type="checkbox"/> Cross Element Complex Rule : Safekeeping Account Or Block Chain Address 1Rule			
<input checked="" type="checkbox"/> Cross Element Complex Rule : Safekeeping Account Or Block Chain Address 2Rule			

ASX Message Element Specification

- ASX Element Name: Account Identifier (HIN)
- ASX Element Definition: Identifier of an account within the CSP.
- EIS Bit Position: 16 or 17
- EIS Field Name: HIN or Delivering HIN

Question from the market on the usage of ASX Element Name

- > The ISO based message can have a broader field definition compared to ASX-specific terminology
- > For example, the “Safekeeping Account” tag in ISO 20022 can be mapped to the HIN (Holder Identification Number) in ASX
- > However, the same “Safekeeping Account” tag in ISO could also be mapped to the SRN (Securityholder Reference Number)
- > Another example is the “Trade Identification” tag in the sese.023 message, which is part of a repeating tag
- > In ASX, this corresponds to the Participant Reference and Underlying Reference
- > Another example of usage: New elements not used in current CHES (e.g., no EIS Bit Position to be added as annotation).



ASX requests for ISOWG feedback on whether the EIS Bit Position still relevant to keep as an annotation?

06

Holding Reports and Accounts

For discussion

06 – Approach on Draft Messages

ASX's approach on message schema being presented at the ISO Working Group

- > Previous message schemas will be utilised as a starting point for CHESSE Replacement
- > Relevant attributes will be retained within the schema relating to the workflow being presented or workflows previously presented
- > Attributes relating to workflows in future drops will be removed for simplicity and assessed at a future ISO Working Group.

06a

Holding Balance Reports

For discussion

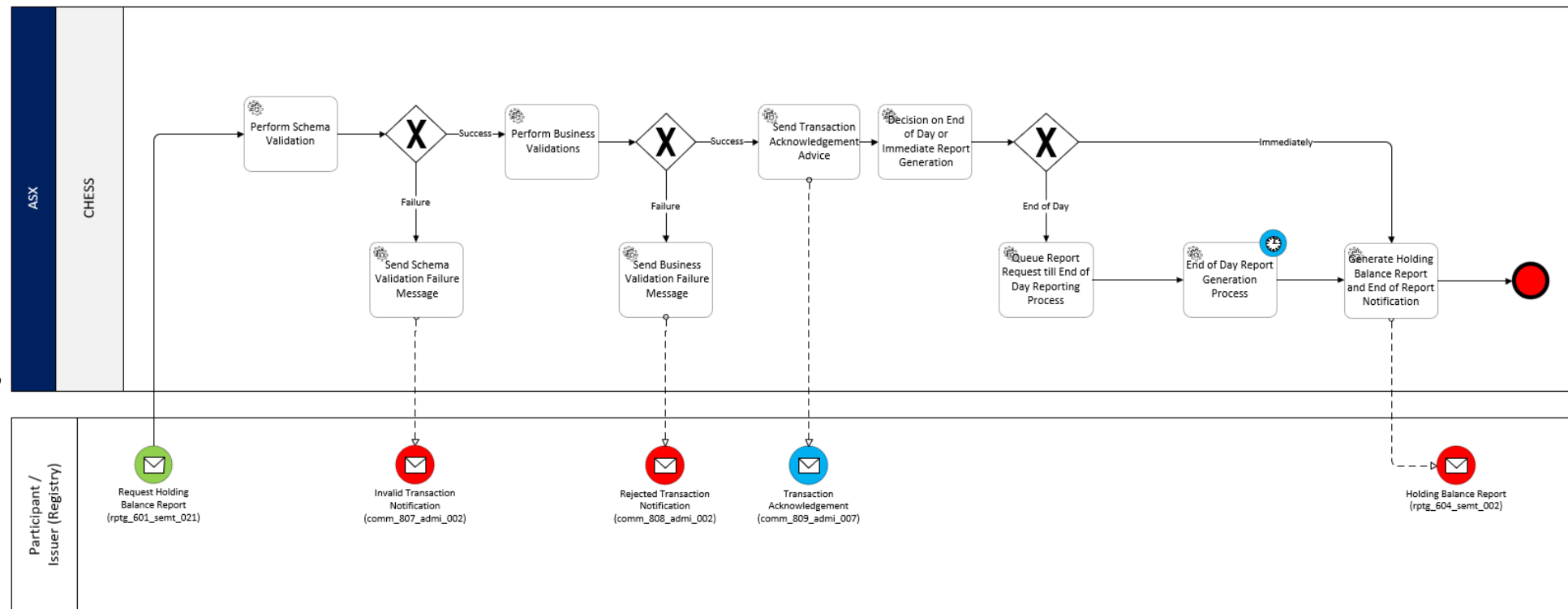
06a – Holding Balance Reports Overview

Holding Balance (HBAL)

The Holding Balance Report can be requested by controlling participants, Issuer (Registries) and Participants to query the balance of a financial product on an Account (HIN) or for Issuer (Registries) to query the balance of a financial product on an Account (HIN) or all Accounts (HINs) in a specific security.

Holding Balance (HBAL) Report Process

Level 4 Process



Selection Parameters

- > Account Identifier (HIN)
- > Security Code
- > As At Date

Timing of Report Generation

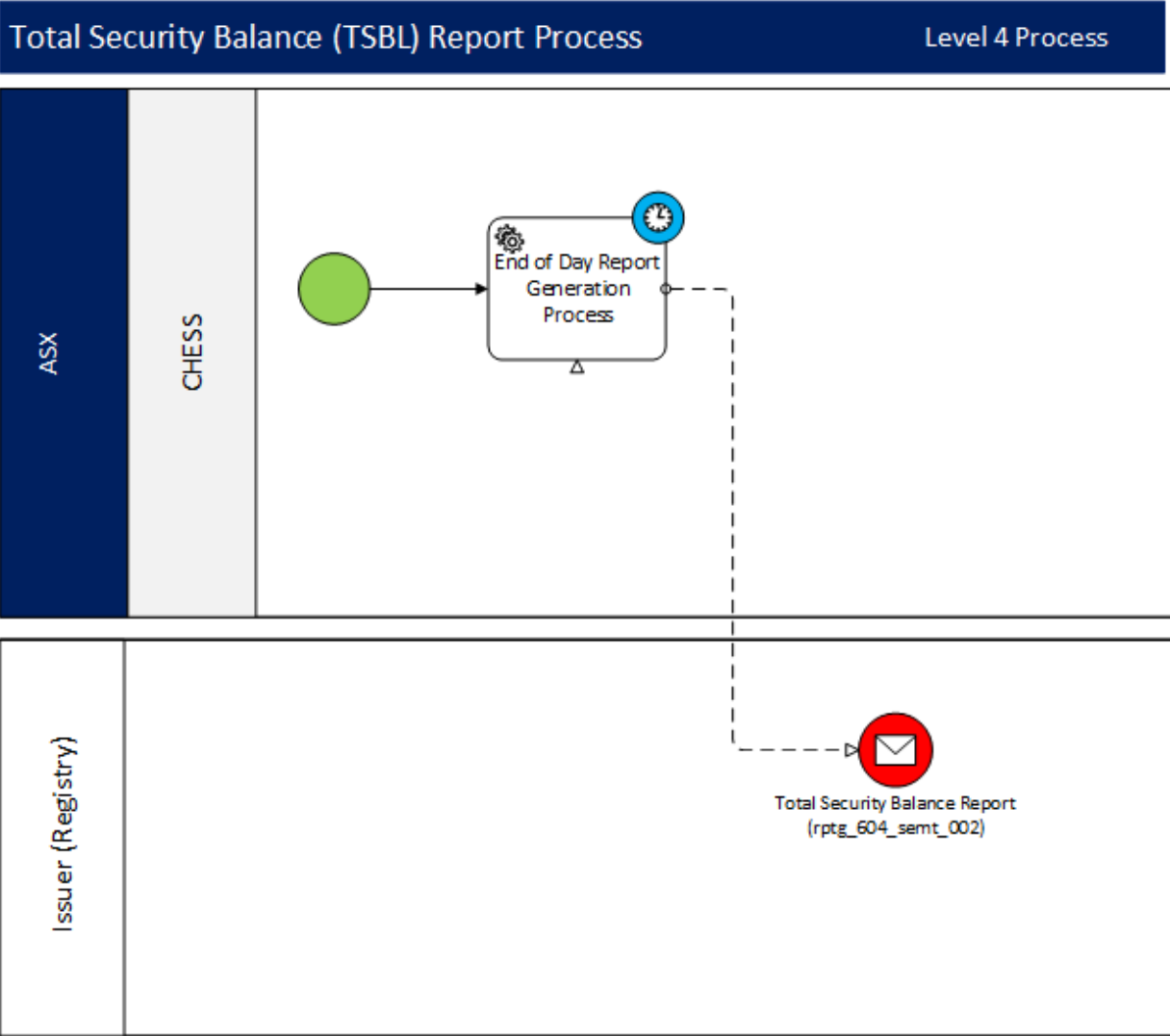
- > Immediate if As-At date is blank or a past date
- > End of Day if As-At date is the Current Date

06a – Total Securities Balance Reports Overview

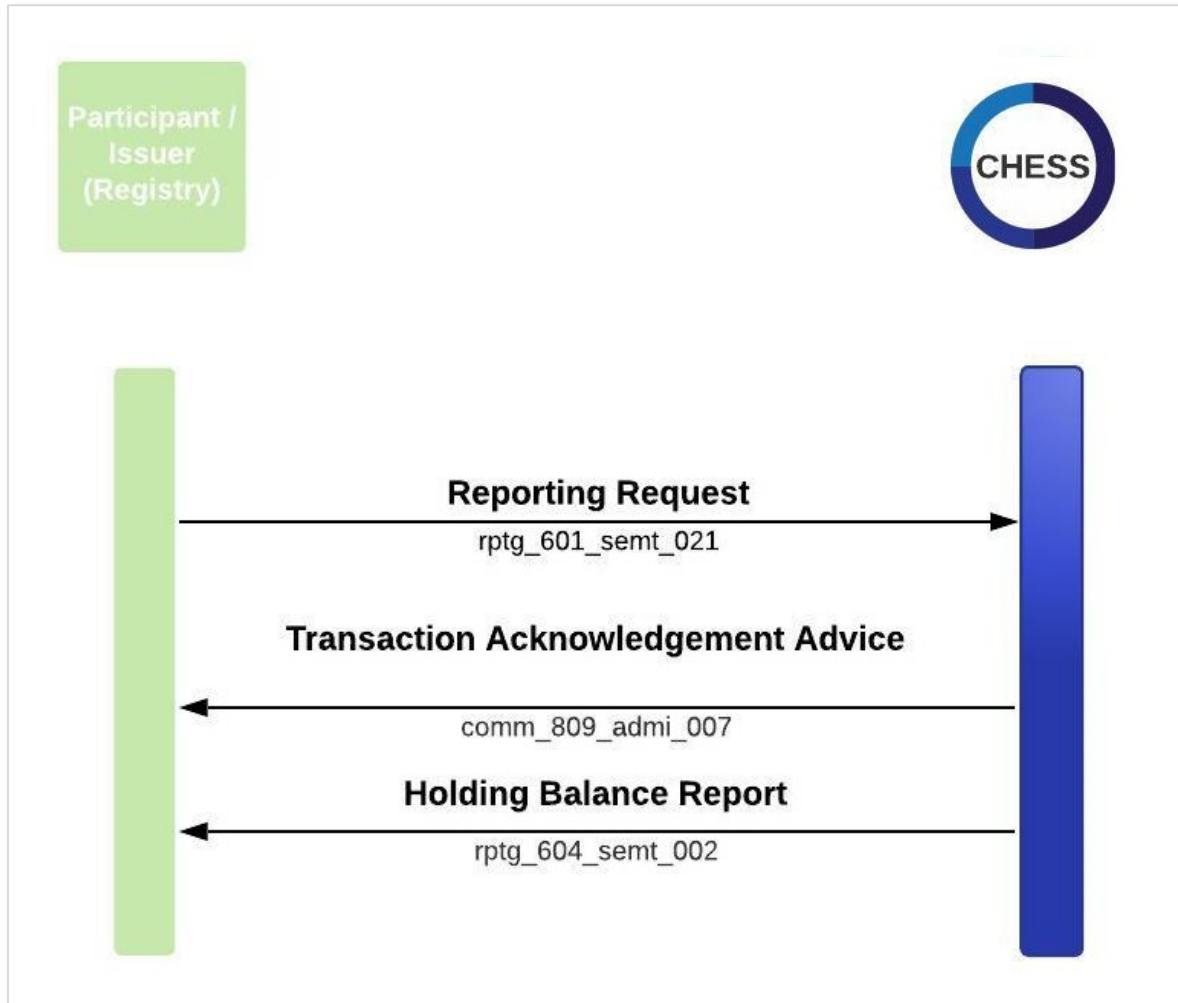
Total Securities Balance Report (TSBL)

The Total Security Balance report returns the total of all holding balances for a specific financial product. This total can be used to assist in the reconciliation of issued capital for a specific financial product.

This report will be generated at end of day and sent to Issuers (Registries) of all financial products.



06a – High-Level UML for HBAL



Recommendation: ASX recommends removing the end-of-report message (rptg_607) for HBAL and TSBL (semt_002) for the following reasons:

- > **Current CHES Behaviour**
 - The end-of-report message is necessary because EIS messages lack a repeating group, leading to multiple messages being sent
- > **ISO 20022 Implementation**
 - A repeating group structure and pagination enables all entries to be sent in a single report or across multiple pages, with clear indicators for the last page
 - The semt.002 message includes an activity indicator to convey “no data” in cases of zero balance.

06b – High-Level UML

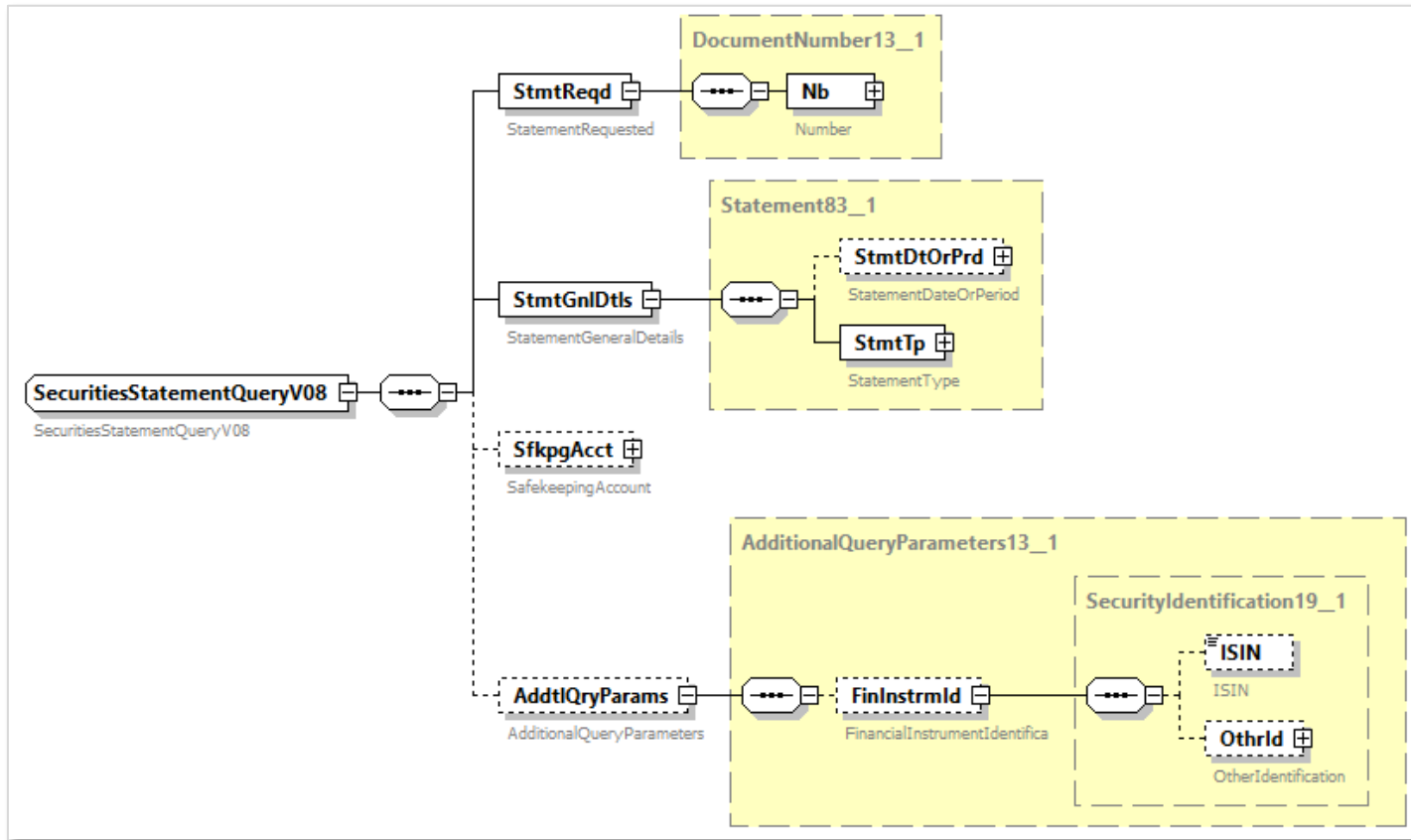


06a – ISO to EIS Cross Reference

Msg Type	Report Id (ISO)	EIS number Response	ISO 20022 Base Message	ASX Message ID "Business Service"	Report Type
Request	HBAL (HoldingBalance)	503	semt.021 Securities Statement Query	rptg_601 Reporting Request	
Response	HBAL (HoldingBalance)	508 522	semt.002 Securities Balance Custody Report	rptg_604 Holding Balance Report	ad-hoc
Response	TSBL (TotalSecurityBalance)	532			EOD
Acknowledgement		526	admi.007 Receipt Acknowledgement	comm_809 Transaction Acknowledgement Advice	
Business Rejection		518	admi.002 Message Reject	comm_808 Rejected Transaction	
Schema Rejection		538	admi.002 Message Reject	comm_807 Invalid Transaction	
End of Overnight Reporting		542	admi.004 System Event Notification	comm_810 Event Notification	

06a – Holding Balance Reporting Request

Base Message: semt.021 – ASX Message ID: rptg_601



Securities Statement Query V08 (semt.021.001.08)				
Statement Requested	1	1		
Number Transaction ID	1	1		
Statement General Details	1	1		
Statement Date Or Period As At date	0	1		
Statement Type Report Type	1	1		
Safekeeping Account HIN (optional)	0	1		
Additional Query Parameters	0	1		
Financial Instrument Identification Security Code	0	1		

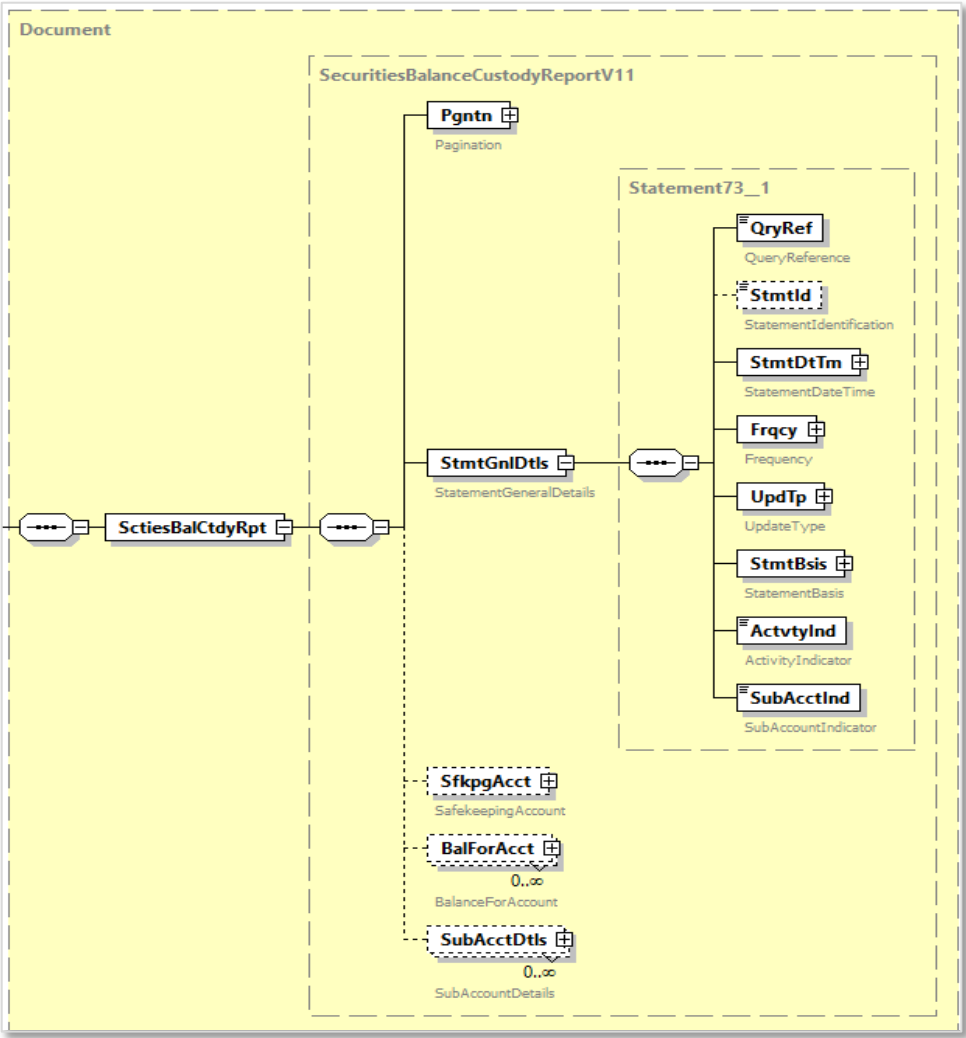
06a – Holding Balance Reporting Request

Base Message: semt.021 – ASX Message ID: rptg_601

ASX Element Name	xpath	Changes
Report Id	/Document/SctiesStmtQry/StmtReqd/Nb/PrtryNb	N/A
As At Date	/Document/SctiesStmtQry/StmtGnlDtls/StmtDtOrPrd/StmtDt	N/A
Start and End Date	/Document/SctiesStmtQry/StmtGnlDtls/StmtDtOrPrd/StmtPrd	Removed Report CumEntitlementMovement (CEMV) and HoldingMovement.(HMVT)out of Scope for 2.1
Movement Type	/Document/SctiesStmtQry/StmtGnlDtls/StmtBsis/Prtry/Id	Removed Report Obligation Status Report (OBGL) out of Scope for 2.1
Report Type	/Document/SctiesStmtQry/StmtGnlDtls/StmtTp/Prtry/Id	N/A
Account Identifier (HIN)	/Document/SctiesStmtQry/SfkpgAcct/Id	Changed from mandatory to optional as part of the migration from the 2017 to 2024 version. No default values such as ALL or NONREF will be required.
Corporate Action Type Id	/Document/SctiesStmtQry/AddtlQryParams/Sts/CorpActnEvtStag	Removed Report CumEntitlementBalance (CEBL) and CumEntitlementMovement (CEMV) out of Scope for 2.1
Subposition Type	/Document/SctiesStmtQry/AddtlQryParams/Rsn/GnrtdRsn	Removed Report HoldingSubpositionBalance (HSBL) out of Scope for 2.1
Ex Date	/SplmtryData/Envlp/Document/ExtensionMessage/AddtlReqParams/ExDtParam	Removed Report CumEntitlementBalance (CEBL) and CumEntitlementMovement (CEMV) out of Scope for 2.1
Corporate Action Event Id	/SplmtryData/Envlp/Document/ExtensionMessage/AddtlReqParams/CorpActnEvtId	Removed Report CumEntitlementBalance (CEBL) and CumEntitlementMovement (CEMV) out of Scope for 2.1

06a – Holding Balance Report

Base Message: semt.002 – ASX Message ID: rptg_604



▼	✉	Securities Balance Custody Report V11 (semt.002.001.ft)							⚠
>	🔗	Pagination	Page 1/LAST	1	1				⚠
▼	🔗	Statement General Details		1	1				⚠
	☰	Query Reference	Transaction ID	1	1				⚠
>	☰	Statement Identification	Report Type : HBAL	0	1				⚠
>	🕒	Statement Date Time	Report date	1	1				⚠
>	🕒	Frequency	Frequency: ADHO for HBAL, DAIL for TSBL	1	1				⚠
>	🕒	Update Type	Update Type: Complete report	1	1				⚠
>	🕒	Statement Basis	Advice reason: Reporting	1	1				⚠
	🕒	Activity Indicator	Activity Indicator: set to true (balance) or false (no balance)	1	1				⚠
	🕒	Sub Account Indicator	SubAccount Indicator: conditional	1	1				⚠
▼	🔗	Safekeeping Account	HIN (conditional)	0	1				⚠
	☰	Identification		1	1				⚠
>	🔗	Balance For Account		0	*				⚠
>	🔗	Sub Account Details		0	*				⚠

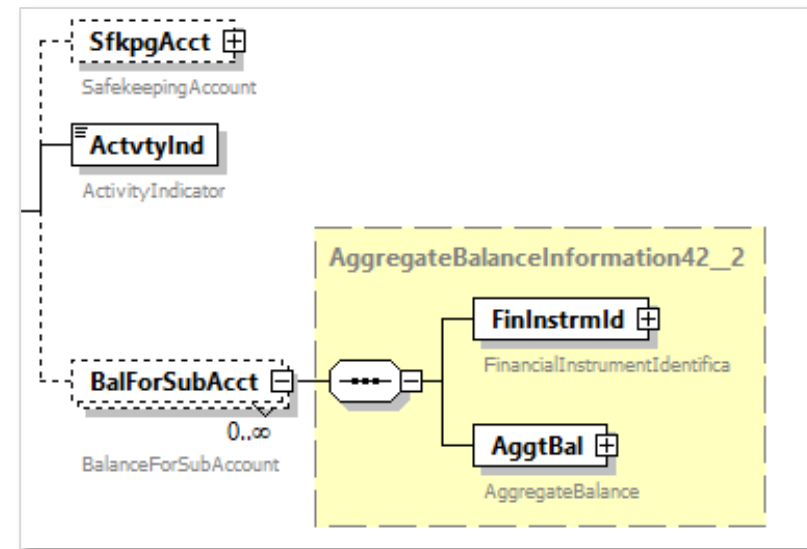
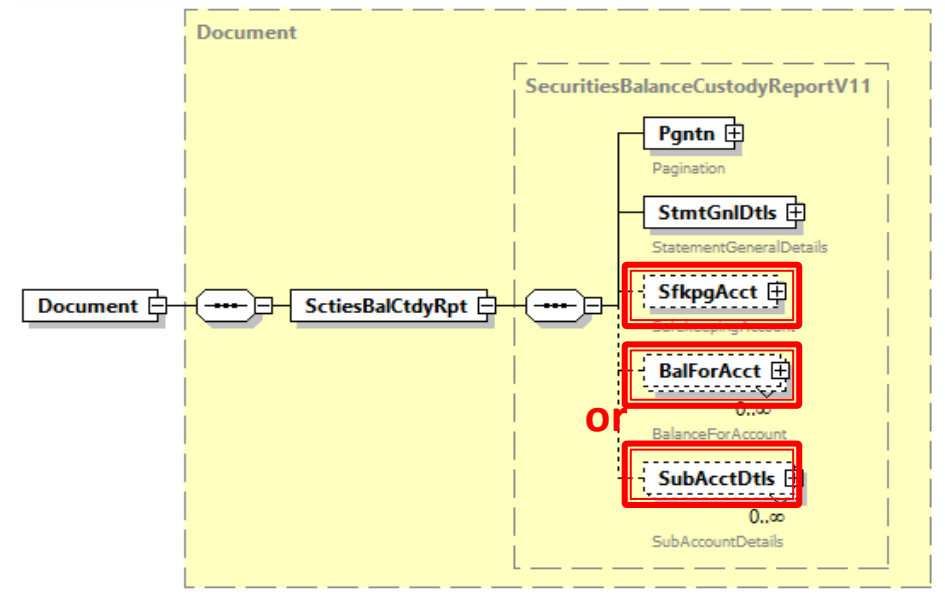
06a – Holding Balance Report

Base Message: semt.002 – ASX Message ID: rptg_604

New Structure for rptg.604 (semt.002)

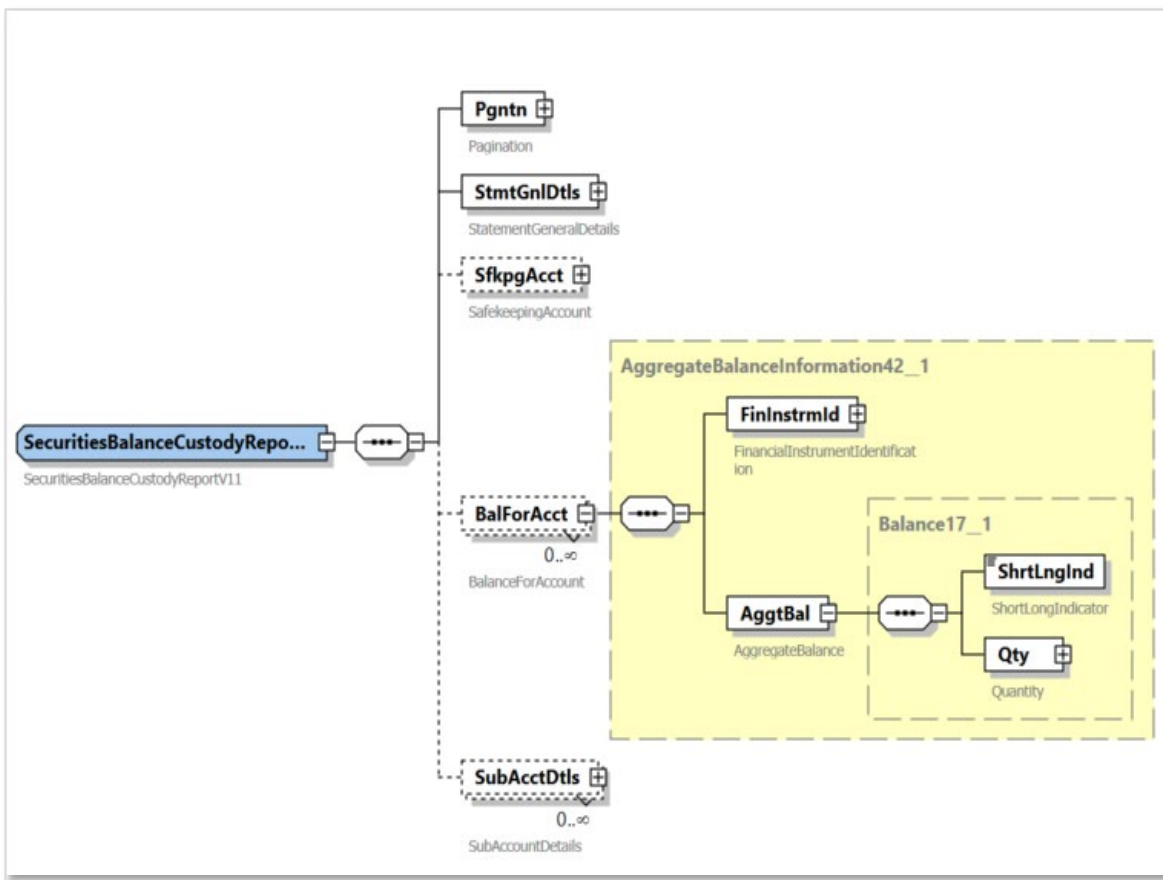
Safekeeping account (HIN) will remain **optional**.

- > When used, it will be in conjunction with "Balance for Account" block, where a security code and its available balance will be captured in a repetitive block (see next slide for full details on Balance for Account)
- > When Safekeeping Account is not present, only Sub-Account details will be populated, starting with the HIN first at Sub-Account level, followed an Activity indicator (Y/N) and the Security code and its available balance.



06a – Holding Balance Report

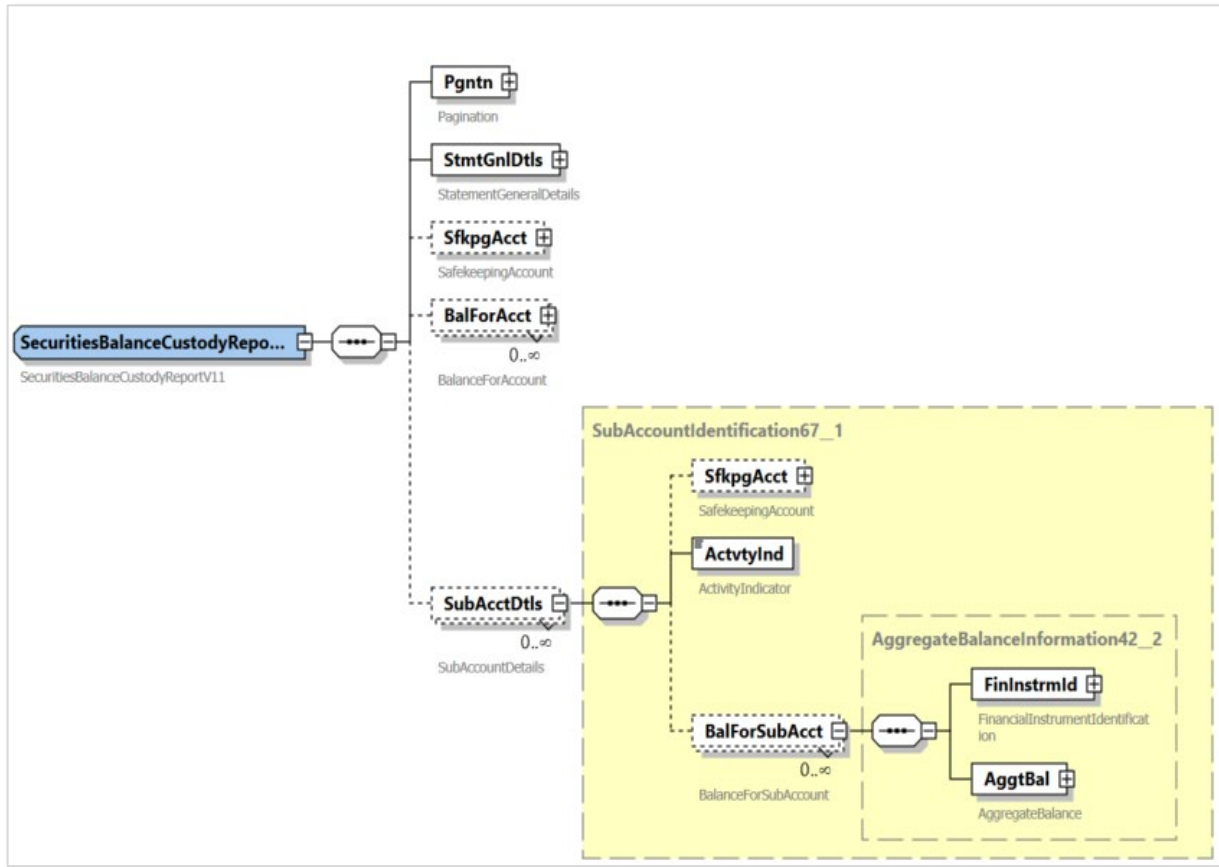
Base Message: semt.002 – ASX Message ID: rptg_604



Securities Balance Custody Report V11 (semt.002.001.t1)				
>	Pagination	1	1	⚠
>	Statement General Details	1	1	⚠
>	Safekeeping Account	0	1	⚠
▼	Balance For Account 1 HIN, several Security Codes	0	*	⚠
▼	Financial Instrument Identification	1	1	⚠
	ISIN Security Code	1	1	[]
>	Other Identification	1	1	[] ⚠
	Description	0	1	
▼	Aggregate Balance	1	1	⚠
>	Short Long Indicator	1	1	⚠
>	Quantity Unit Quantity	1	1	⚠
>	Sub Account Details	0	*	⚠

06a – Holding Balance Report

Base Message: semt.002 – ASX Message ID: rptg_604



Element	Count	Cardinality	Warnings
Securities Balance Custody Report V11 (semt.002.001.t1)			⚠️
Pagination	1	1	⚠️
Statement General Details	1	1	⚠️
Safekeeping Account	0	1	⚠️
Balance For Account	0	*	⚠️
Sub Account Details Full block repeated per HIN	0	*	⚠️
Safekeeping Account	1	1	⚠️
Identification	1	1	⚠️
Activity Indicator Activity indicator set to true	1	1	⚠️
Balance For Sub Account	1	1	⚠️
Financial Instrument Identification Security Code	1	1	⚠️
Aggregate Balance Unit Quantity	1	1	⚠️

06a – Holding Balance Report

Base Message: semt.002 – ASX Message ID: rptg_604

ASX Element Name	xpath	Changes
Pagination	/Document/SctiesBalCtdyRpt/Pgntn	N/A
Transaction Id	/Document/SctiesBalCtdyRpt/StmtGnlDtls/QryRef	N/A
Report Date	/Document/SctiesBalCtdyRpt/StmtGnlDtls/StmtDtTm/Dt	N/A
Frequency	/Document/SctiesBalCtdyRpt/StmtGnlDtls/Frqcy	N/A
Advice Reason	/Document/SctiesBalCtdyRpt/StmtGnlDtls/StmtBsis/Prtry/Id	For Drop 2.1 only Reporting [RPTG]
Report Type	/Document/SctiesBalCtdyRpt/StmtGnlDtls/StmtId	Field customised to support 2 types of reports: HBAL for Holding Balance and TSBL for Total Security Balance. All other codes not in scope for drop 2.1
Account Identifier (HIN)	/Document/SctiesBalCtdyRpt/SfkpgAcct/Id	Changed from mandatory to optional as part of the migration from the 2017 to 2024 version. No default values such as ALL or NONREF will be required
Update Type	/Document/SctiesBalCtdyRpt/StmtGnlDtls/UpdTp	N/A
Activity Indicator	/Document/SctiesBalCtdyRpt/StmtGnlDtls/ActvtyInd	Now used with True or False
Sub Account Indicator	/Document/SctiesBalCtdyRpt/StmtGnlDtls/SubAcctInd	Now used with True or False

06a – Holding Balance Report

Base Message: semt.002 – ASX Message ID: rptg_604

ASX Element Name	xpath	Changes
Security Code	/Document/SctiesBalCtdyRpt/BalForAcct/FinInstrmId	N/A
	/Document/SctiesBalCtdyRpt/SubAcctDtIs/BalForSubAcct/FinInstrmId	Introduced
Unit Quantity	/Document/SctiesBalCtdyRpt/BalForAcct/AggtBal/Qty/Qty/Qty/Unit	N/A
	/Document/SctiesBalCtdyRpt/SubAcctDtIs/BalForSubAcct/AggtBal/Qty/Qty/Qty/Unit	Introduced
Account Identifier (HIN)	/Document/SctiesBalCtdyRpt/SubAcctDtIs/SfkpgAcct/Id	Introduced
Activity Indicator	/Document/SctiesBalCtdyRpt/SubAcctDtIs/ActvtyInd	Introduced
Sub Position Type	/Document/SctiesBalCtdyRpt/BalForAcct/BalBrkdwn/SubBalTp/Prtry/Id	N/A
Sub Position Quantity	/Document/SctiesBalCtdyRpt/BalForAcct/BalBrkdwn/Qty/Qty/Qty/Unit	N/A
Corporate Action Option Id	/Document/SctiesBalCtdyRpt/BalForAcct/BalBrkdwn/SubBalAddtIDtIs	Removed Report HoldingSubpositionBalance (HSBL) out of Scope for 2.1

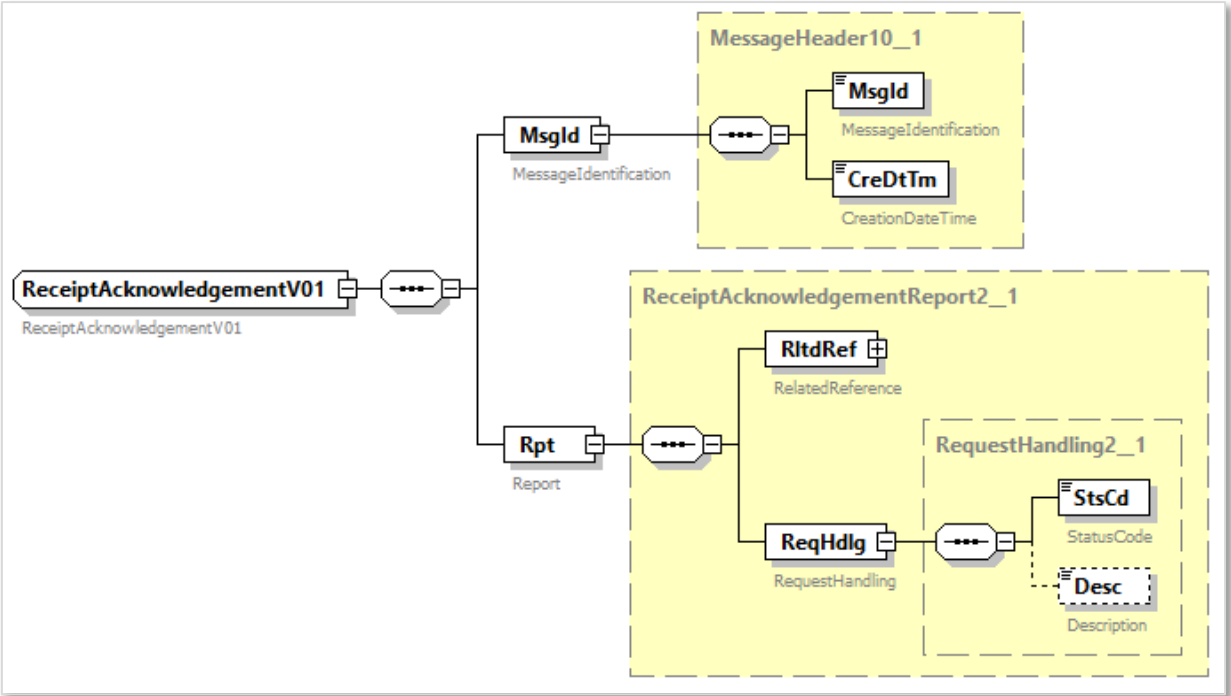
06b

Transaction Acknowledgement Advice

For discussion

06b – Transaction Acknowledgement Advice

Base Message: *admi.007* – ASX Message ID: *comm_809*



▼	✉	Receipt Acknowledgement V01 (admi.007.001.01)			⚠
▼	🔗	Message Identification	1	1	⚠
	☰	Message Identification			⚠
	📅	Creation Date Time	1	1	⚠ [!]
▼	🔗	Report	1	1	[!] ⚠
▼	🔗	Related Reference	1	1	⚠
	☰	Reference			⚠
▼	🔗	Request Handling	1	1	⚠
▼	☰	Status Code	1	1	⚠ 123
	○	Accepted [ACCP]			
	○	Cancelled by System [CANS]			
	○	Completed [COMP]			
	○	Rejected [REJT]			
	☰	Description	0	1	⚠ 123

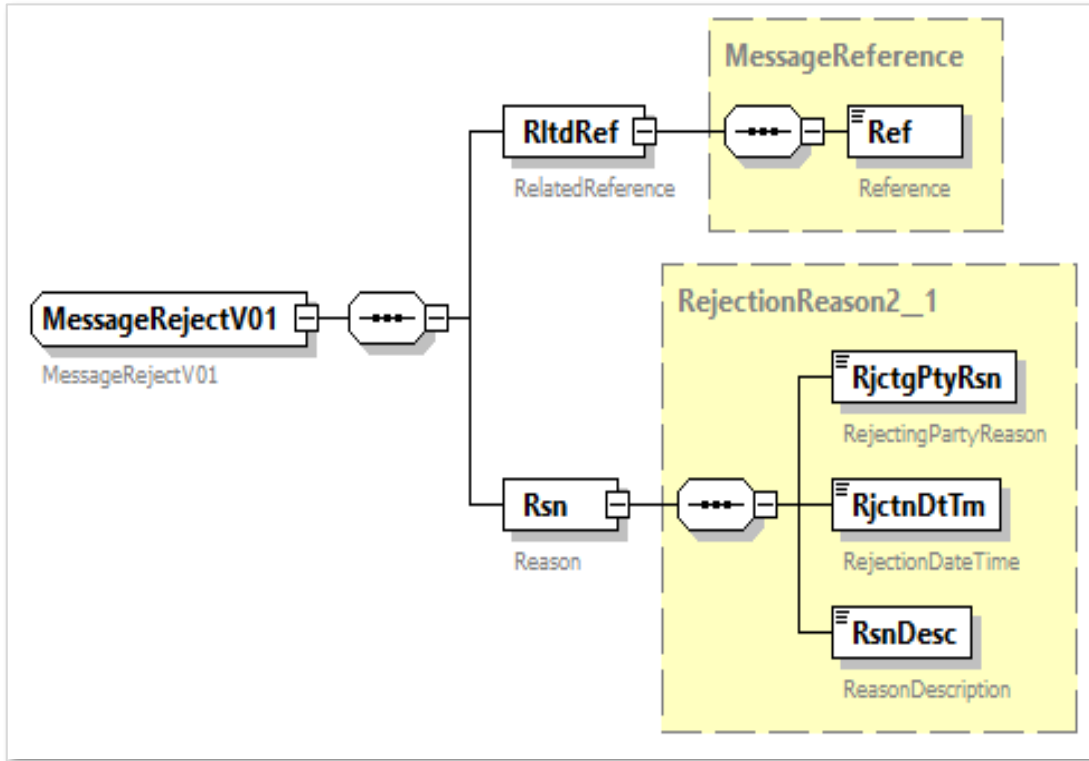
06b – Transaction Acknowledgement Advice

Base Message: [admi.007](#) – ASX Message ID: [comm_809](#)

ASX Element Name	xpath	Changes
Transaction Id	/Document/RctAck/Rpt/RltdRef/Ref	N/A
Status Code	/Document/RctAck/Rpt/ReqHdlg/StsCd	N/A
Registry Reject Reason	/Document/RctAck/Rpt/ReqHdlg/Desc	N/A
Basis of Movement 1, 2 and 3	/SplmtryData/Envlp/Document/ExtensionMessage/AddtlDtls/BsisOfMvmnt	Removed. Holding Adjustments is out of scope for Drop 2.1

06b – Invalid Transaction

Base Message: `admi.002` – ASX Message ID: `comm_807`



Message Reject V01 (admi.002.001.01)				
Related Reference	1	1	⚠️	
Reference	Origin Transaction ID	1	1	⚠️
Reason	Reason and description for technical rejection	1	1	⚠️
Rejecting Party Reason		1	1	⚠️ ABC 123
Rejection Date Time		1	1	⚠️ [!]
Reason Description		1	1	⚠️ [!]

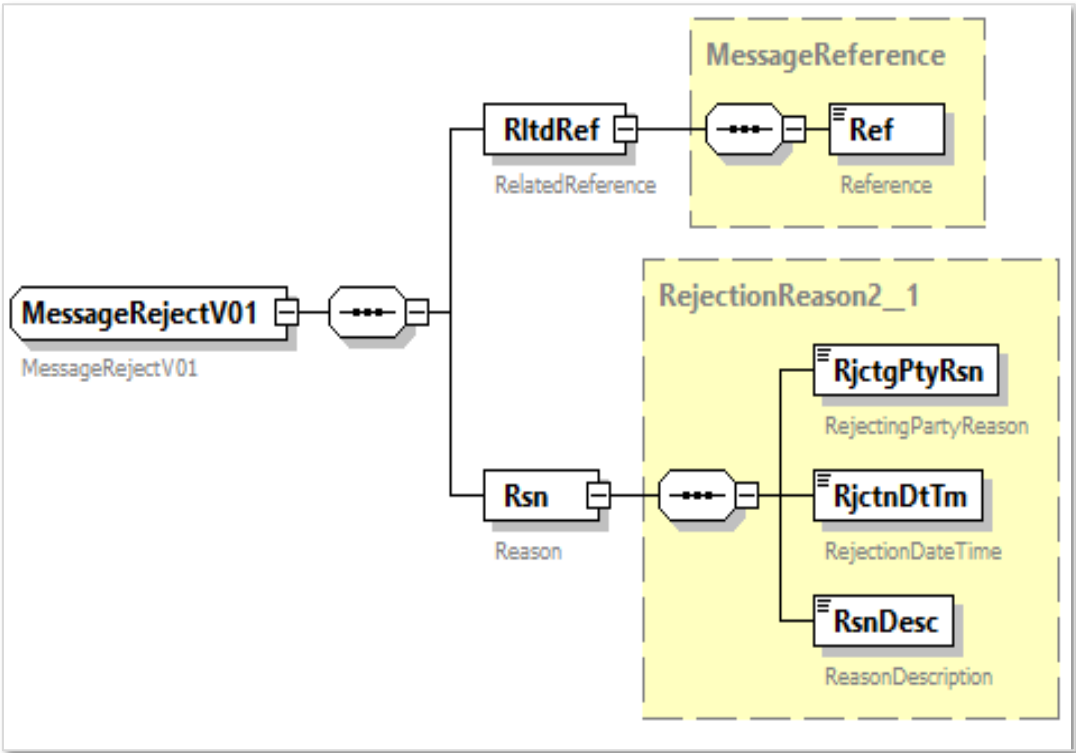
06b – Invalid Transaction

Base Message: `admi.002` – ASX Message ID: `comm_807`

ASX Element Name	xpath	Changes
Transaction Id	<code>/Document/admi.002.001.01/RltdRef/Ref</code>	N/A
Rejected Reason	<code>/Document/admi.002.001.01/Rsn/RjctgPtyRsn</code>	N/A
Reason Description	<code>/Document/admi.002.001.01/Rsn/RsnDesc</code>	N/A
Rejection Date and Time	<code>/Document/admi.002.001.01/Rsn/RjctnDtTm</code>	N/A

06b – Rejected Transaction

Base Message: `admi.002` – ASX Message ID: `comm_808`



Message Reject V01 (admi.002.001.01)	1	1	Warning
Related Reference	1	1	Warning
Reference	Origin Transaction ID	1	Warning
Reason	Transaction ID is invalid	1	Warning
Rejecting Party Reason		1	Warning 123
Rejection Date Time		1	Warning [!]
Reason Description		1	Warning [!]

06b – Rejected Transaction

Base Message: *admi.002* – ASX Message ID: *comm_808*

ASX Element Name	xpath	Changes
Transaction Id	/Document/admi.002.001.01/RltdRef/Ref	N/A
Rejected Reason	/Document/admi.002.001.01/Rsn/RjctgPtyRsn	N/A
Reason Description	/Document/admi.002.001.01/Rsn/RsnDesc	N/A
Rejection Date and Time	/Document/admi.002.001.01/Rsn/RjctnDtTm	N/A

06c

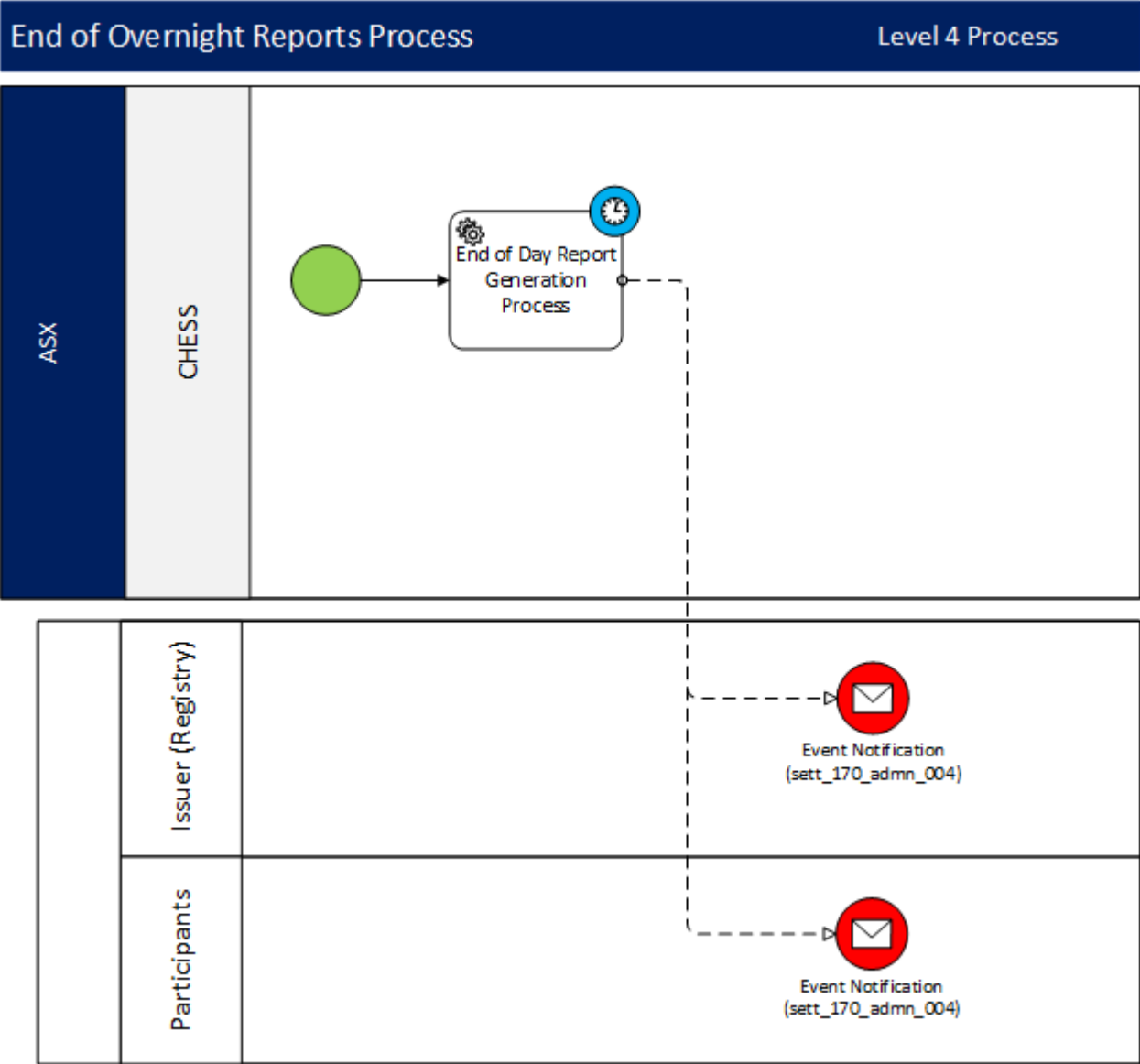
End of Overnight Reports

For discussion

06c – End of Overnight Reports Overview

Event Notification

Notification to all Participants and Issuers (Registries) once all 'End of Day' reports have been generated and sent by CHES.

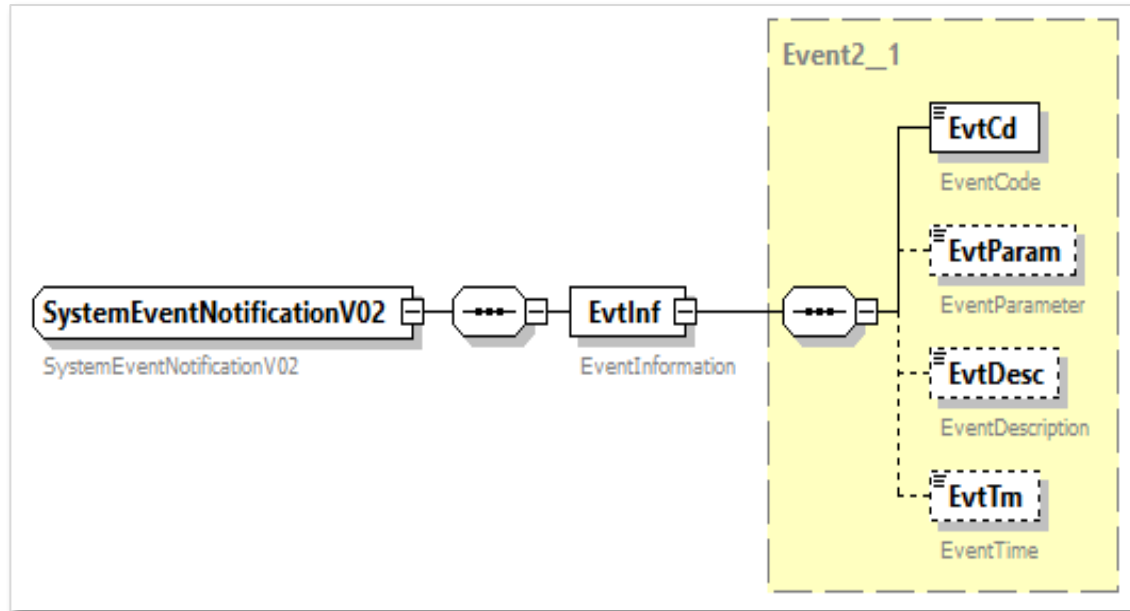


06c – High-Level UML for Event Notification



06c – Event Notification

Base Message: admi.004 – ASX Message ID: sett_170 (comm_810)



System Event Notification V02 (admi.004.001.02)				
Event Information	1	1		
Event Code	1	1	Type of event that occurred during ASX processing: ENDO for end of reporting	ABC 123
Event Parameter	0	1	Transaction Id	[!]
Event Description	0	1		
Event Time	0	1		ABC 123



ASX proposes to add the message admi.004 to the common messages collection (comm) as it will be used to notify the end of a process (i.e. end of settlement reporting, end of netting reporting and end of overnight reporting) with the ASX Business Message Id of comm_810.

06c – Event Notification

Base Message: `admi.004` – ASX Message ID: `sett_170` (comm_810)

ASX Element Name	xpath	Changes
Transaction Id	<code>/Document/SysEvtNtfctn/EvtInf/EvtParam</code>	N/A
Event Type	<code>/Document/SysEvtNtfctn/EvtInf/EvtCd</code>	N/A
Description	<code>/Document/SysEvtNtfctn/EvtInf/EvtDesc</code>	N/A
Settlement Date	<code>/Document/SysEvtNtfctn/EvtInf/EvtTm</code>	N/A

06d

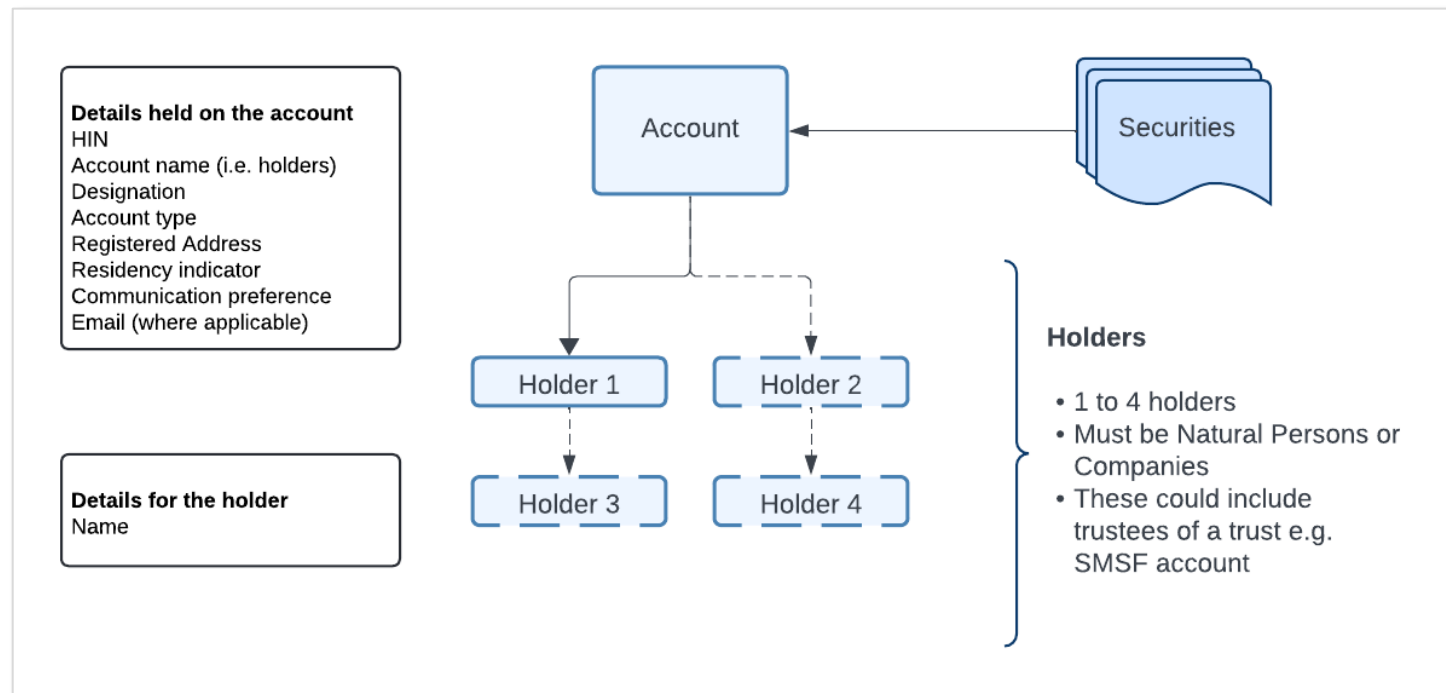
Account Creation

For discussion

06d – Account Creation High Level Overview

Account Creation and Roles

An Account within CHESs represents a container in which title (ownership) of securities is maintained. The Account is commonly referred to as a HIN. The information stored against an Account is a combination of Holder information (e.g. names) and Account attributes (e.g. registered address, account type, communication preferences).



06d – Accounts – Base Messages

ISO Base Message	Workflow
acmt.001	<ul style="list-style-type: none">Account Creation
acmt.002	Account Notification in the following scenarios: <ul style="list-style-type: none">Account has been successfully createdAccount has been successfully modifiedNotification of registration details to Issuer (Registry)
acmt.003	<ul style="list-style-type: none">Account ModificationInvestor Data (pass through)

07

Next Steps

07 – Next Steps

- > Technical Committee members who are yet to nominate representatives are asked to nominate up to two primary representatives to participate in the Working Group
- > Feedback required for the following:
 - MyStandards documentation: [ASX ISO 20022 Working Group](#)
 - Community: ASX ISO 20022 Working Group
 - Collections:
 - ASX_AU_CHS_draft_rptg
 - ASX_AU_CHS_draft_comm
 - Further details (attached to Message Definitions in MyStandards)
 - Message Model
 - Sample .xml
 - Valid .xml samples to illustrate message structure
 - Whether the EIS Bit Position is still relevant to keep as an annotation?
 - ASX's proposal to utilise Event Notification (comm_810_admn_004) to notify CHES Users of end of processes

ASX Message ID "Business Service"	ISO Base Message " Message Definition Identifier"
rptg_601	semt.021
rptg_604	semt.002
comm_809	admi.007
comm_808	admi.002
comm_807	admi.002
comm_810 "sett_170"	admi.004



ASX requests for ISO WG feedback via through MyStandards by 24 January 2025.
Feedback will be addressed at the next ISOWG meeting.

08

Forward Engagement Plan and AOB

08 – Forward Plan

Committee Schedule

Month	Date	Time
Technical Committee		
February 2025 meeting	Wednesday, 5 February	2:00pm – 4:00pm
Business Committee		
December 2024 meeting	Wednesday, 11 December	4:00pm – 6:00pm

Upcoming Working Groups	Proposed Topic	Date
ISO 20022 Design	Unilateral Demand Transfers and Holding Administration Locks	Tuesday, 18 February
Business Design	Account and Investor Data	Thursday, 6 February
AMO	Release 1 ITE Connectivity Update	Thursday, 13 February
Implementation & Transition	Release 1 ITE Open Industry Test Activity and Progress Tracking	Thursday, 27 February

Proposed ISOWG meeting dates

	2024		2025											
	Nov 24	Dec 24	Jan 25	Feb 25	Mar 25	Apr 25	May 25	Jun 25	Jul 25	Aug 25	Sep 25	Oct 25	Nov25	Dec 25
ISOWG		▲ 10 Dec		▲ 18 Feb	▲ 20 Mar	▲ 16 Apr	▲ 21 May	▲ 19 Jun	▲ 24 Jul	▲ 20 Aug	▲ 18 Sep	▲ 23 Oct	▲ 20 Nov	▲ 18 Dec
	Q4		Q1			Q2			Q3			Q4		



Questions

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Thank you.

