# ISO 20022 Technical Committee Meeting

25 June 2019

Joining by webinar

Please note that ASX is now using the GoToWebinar platform for this meeting. Details provided by email. Once you have registered and clicked on the link to join the webinar you will need to join the audio by phone, not PC. Each attendee will have a unique PIN assigned, as shown below.
Please follow any instructions to check your system, PC.
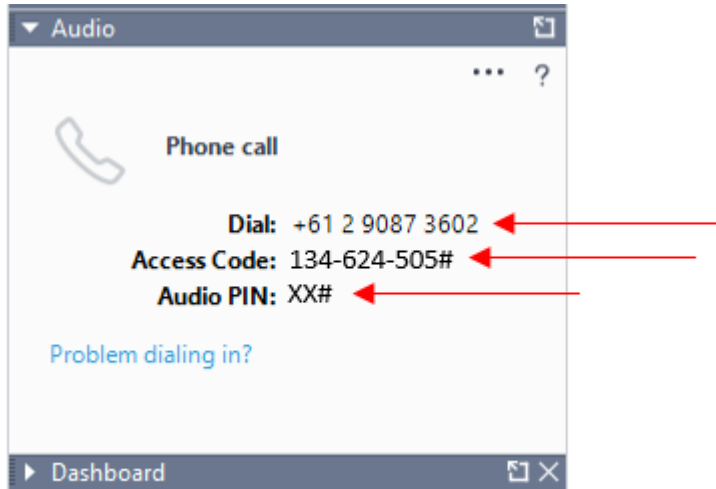
Attendee Participation

Join audio:
- Choose Telephone and dial using the information provided

- You will need the unique 2 digit audio pin to ask questions.

If you are not speaking during the meeting, please mute your phone

Important information – Competition Law Policy

Committee members are reminded to have regard to their obligations under competition law. In particular, please note recent changes to the Competition and Consumer Act to prohibit 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.

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Agenda

1. Agenda overview

2. Minutes from last meeting, open actions

3. Matters for Consideration:

    3a   Focus Group update – Corporate actions

    3b   Review of member feedback on published 'to-be' messages

    3c   Batch Settlement

    3d   'To-be' messages for review

4. Standing agenda items:

    4a   CHESS Replacement project update by ASX

    4b   ISO 20022 project update by ASX

    4c   Update from Business Committee (verbal)

5. Closing and next meeting

2. Minutes and actions

Minutes for 28 May 2019 meeting available on CHESS Replacement web page. Open action items:

#	Meeting Date	Open Action Items	Owner	Due Date	Status
20	2 May 2017	Provide details of a proposed plan including potential topics for the remaining training webinars for feedback, including identification of business vs. technical topics.	ASX	On hold	On hold
62	4 Sep 2018	ASX to review 1. the intended timing for housekeeping of unmatched messages, any standardisation opportunities; **(this item was closed, given related action item #79 was also closed)** 2. whether settlement requests could be future dated; **(this item was closed – ASX response that future dating would not be supported)** 3. ASX would also consider the visibility of holding locks to issuers on an intra-day basis.	ASX	25 June 2019	Open
84	28 May 2019	ASX will not provide backward compatibility, but will evaluate how to provide better transparency on substantive changes.	ASX	25 June 2019	Open
85	28 May 2019	ASX to consider inclusion of investor identity (HIN) to allow a validation pre change of controlling participant transfer.	ASX	25 June 2019	Open

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3. Matters for consideration

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3a Focus Group update

Corporate Actions

> Focus group 18 June

> Proposal for DRP and BSB instructions between participant and Issuer

> Feedback due by 28 June 2019

> Next focus group 9 July 2019 on Corporate Actions related requirements
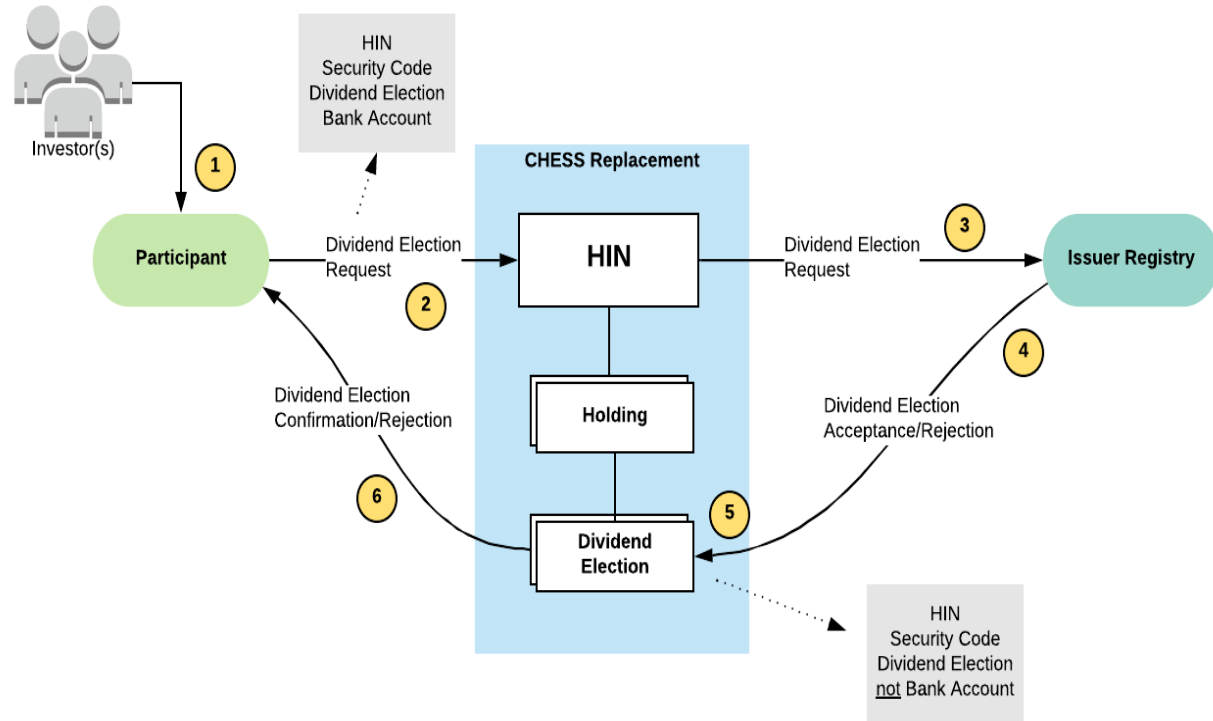
3b Review of member feedback on published 'to-be' messages
Transfers, Conversions, SRN Enquiry

Messages shared @ Technical Committee 7 May 2019:

- 'Transfers and Conversions' and 'SRN Enquiry'
    - Comments on 9 guidelines by 4 members (2 Vendors, 2 Participants)
    - 62 comments: 53 are 'no issues', 8 minor annotation corrections and one comment resulting in schema change

ASX

3b Review of member feedback on published 'to-be' messages
Change of Controlling Participant, Holding Adjustments, Warrants

Messages shared @ Technical Committee 28 May 2019:

- Change of Controlling Participant, Holding Adjustments, Warrants
  - Comments on 11 guidelines by 3 members (1 Vendor, 2 Participants)
  - 22 comments: 20 are 'no issues', 2 comments resulting in schema change (hold_226 Message)
  - Renamed the hold_227 message to comm_809 message to have a common reusable message to indicate Acceptance of the previous message.

ASX

3b Review of member feedback on published 'to-be' messages

Hold_221 message usage and statuses

Change of controlling participant, holding adjustment, warrant

Name	XML Tag	Mult	Type / Code	Rest
Corporate Action Movement Confirmation V10	<CorpActnMvmntConf>			
Other Document Identification	<OthrDocId>	[0..*]		[1..1]
Identification	<Id>	[1..1]	Choice	
Account Servicer Document Identification	<AcctSvcrDocId>	[1..1]	text{1,35}	
Corporate Action General Information	<CorpActnGnlInf>	[1..1]		
Corporate Action Event Identification	<CorpActnEvtId>	[1..1]	text{1,35}	
Event Type	<EvtTp>	[1..1]	Choice	
Proprietary	<Prtry>	[1..1]		
Identification	<Id>	[1..1]	text	T/C
Issuer	<Issr>	[1..1]	text{1,35}	T/C
XASX			XASX	
Corporate Action Confirmation Details	<CorpActnConfDtls>	[1..1]		
Securities Movement Details	<SctiesMvmntDtls>	[0..*]		[1..5]
Financial Instrument Identification	<FinInstrmId>	[1..1]		
ISIN	<ISIN>	[0..1]	text	
Other Identification	<OthrId>	[0..*]		[0..1]
Identification	<Id>	[1..1]	text{1,35}	T/C
Type	<Tp>	[1..1]	Choice	
Proprietary	<Prtry>	[1..1]	text{1,35}	T/C
INFO			INFO	
Description	<Desc>	[0..1]	text{1,140}	T/C

Hold_226 (EIS 425 and EIS 421): seev.036

New Reason: ASX Proprietary code list

New Securities Movement Details (1..5)

ISIN or Security Code

IGNORE THIS PAGE

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3c Batch settlement
Overview

Overview

The batch settlement cycle performs 5 main activities:

1. Determines eligibility of settlement instructions to be settled on the current business day

2. Advises Participants & Payment Providers of the Funds obligations

3. Instructs the payment services to perform the funds transfer

4. Movement of units and the updating of holding balances

5. Provides reporting to Participants

What's Changing?

- Limiting a subset of requests while batch settlement is occurring

- Timing of reports and notifications during the batch settlement process

- Attributes of messages

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3c Batch settlement

'To-be' message consolidation table

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Confirmation	156 192	**sett_119**	sese_025	Settlement Confirmation	CSP	Participant
Notification	162	**sett_129**	sese_024	Suspended Settlement Instruction	CSP	Participant
Notification	124	**sett_130**	sese_032	Rescheduled Settlement Instruction	CSP	Participant
Notification	398	**sett_131**	camt_056	Settlement Cancellation Notification	CSP	Payment Provider
Notification	310 312	**DRAFT_sett_133**	camt_089	Funds Obligation	CSP	Payment Provider
Notification	150 186	**sett_134**	camt_052	Participant Funds Notification	CSP	Participant
Notification	311 313	**DRAFT_sett_135**	camt_090	Funds Obligation Status Advice	Payment Provider	CSP
Confirmation	146	**sett_136**	sese_025	Settlement Movement Confirmation	CSP	Participant
Notification	170	**sett_137**	camt_054	Funds Movement	CSP	Participant
Notification	542	**sett_170**	admi_004	Event Notification	CSP	Participant

Technical documentation:

ISO 20022 Messaging - Technical Manual (TM) >

ISO 20022 Messaging - TM - EIS to ISO 20022 Cross Reference Guide

14 messages were consolidated to 10 messages

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'To-be' message consolidation - Funds Notification

5.2.27. Funds Notification

sett.133_camt.089
312. Payment Provder Funds Obligation
C → B1

sett.133_camt.089
310. Participant Funds Obligation

sett.134_camt.52
150. Projected Funds Obligation
→ P1

→ B1

sett.135_camt.090
311. Participant Funds Obligation Ack.
→ C

OR

sett.135_camt.090
313. Participant Funds Obligation Rejection
B1 → C
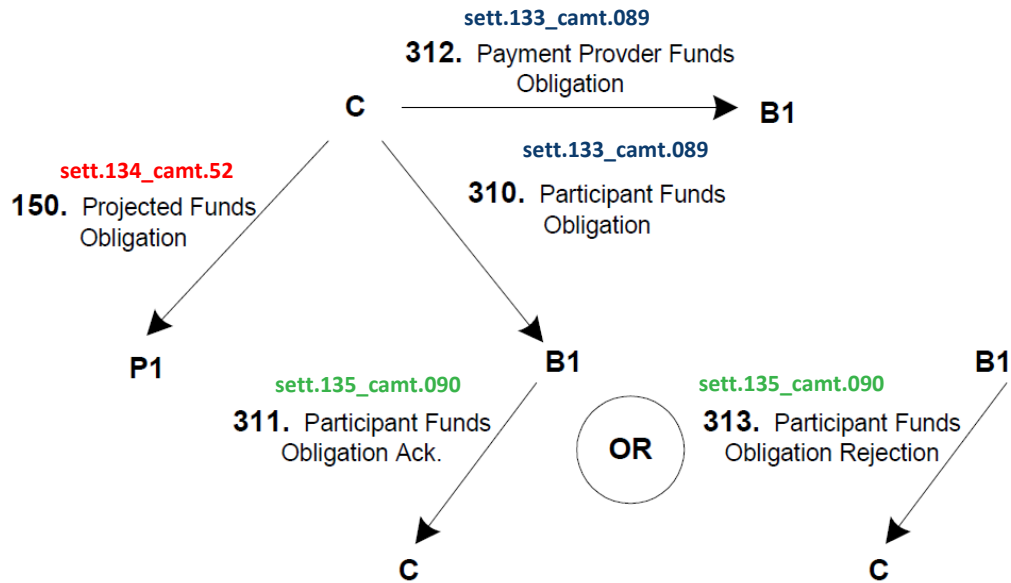
5.2.30. Funds Cancellation
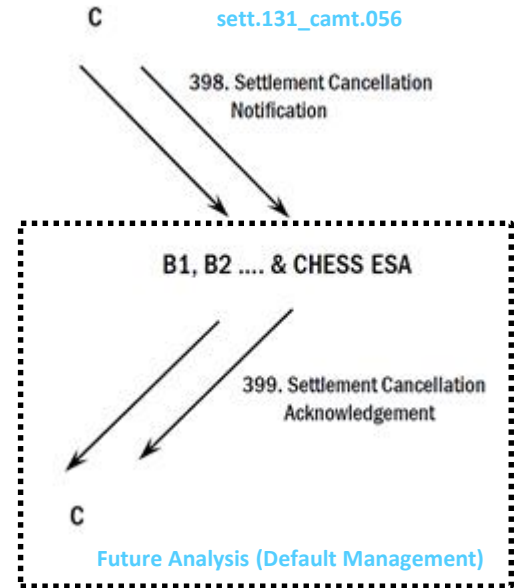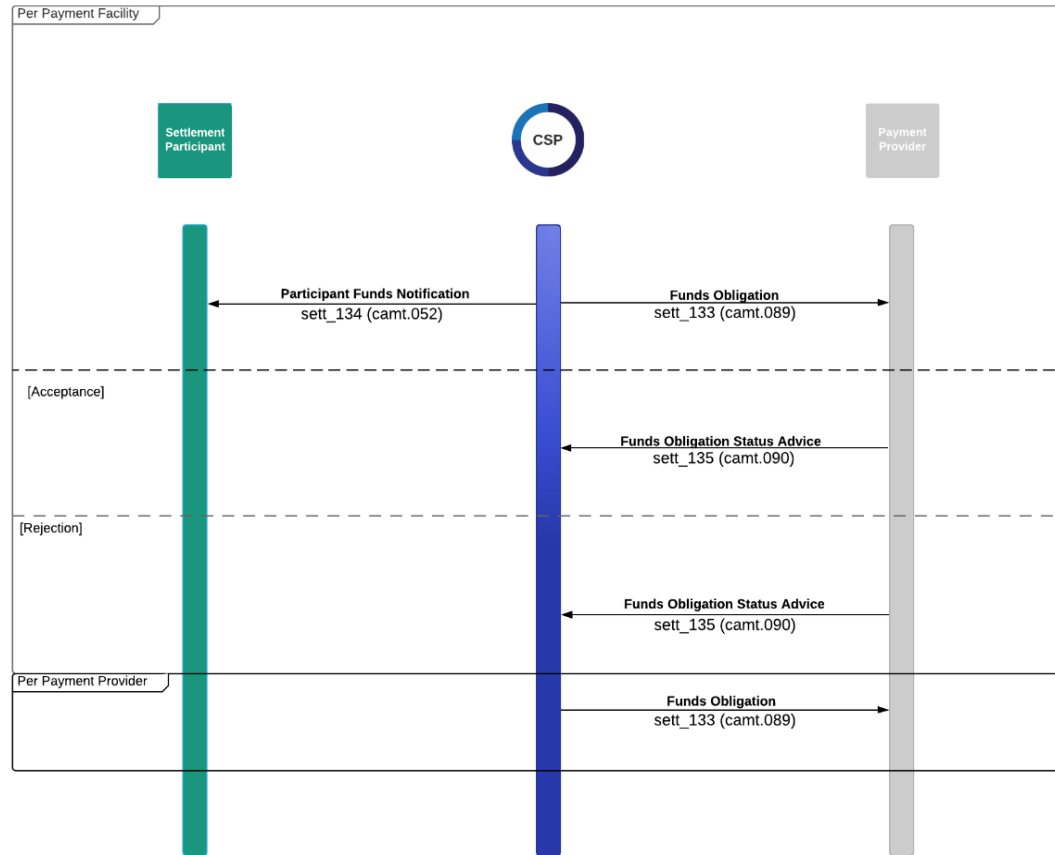
C

sett.131_camt.056
398. Settlement Cancellation Notification

B1, B2 .... & CHESS ESA

399. Settlement Cancellation Acknowledgement

C

Future Analysis (Default Management)

Fund Notification uml flow

Rescheduled Settlement Instruction (EIS 124)
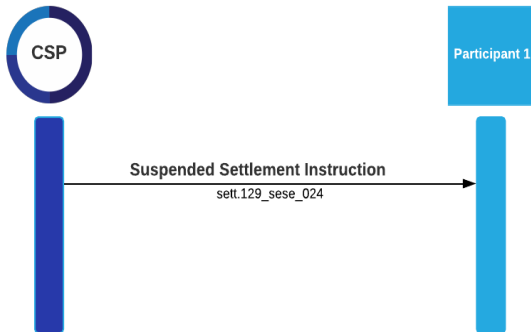
Settlement Cancellation Notification (EIS 398)

Suspended Settlement Instruction (EIS 162)
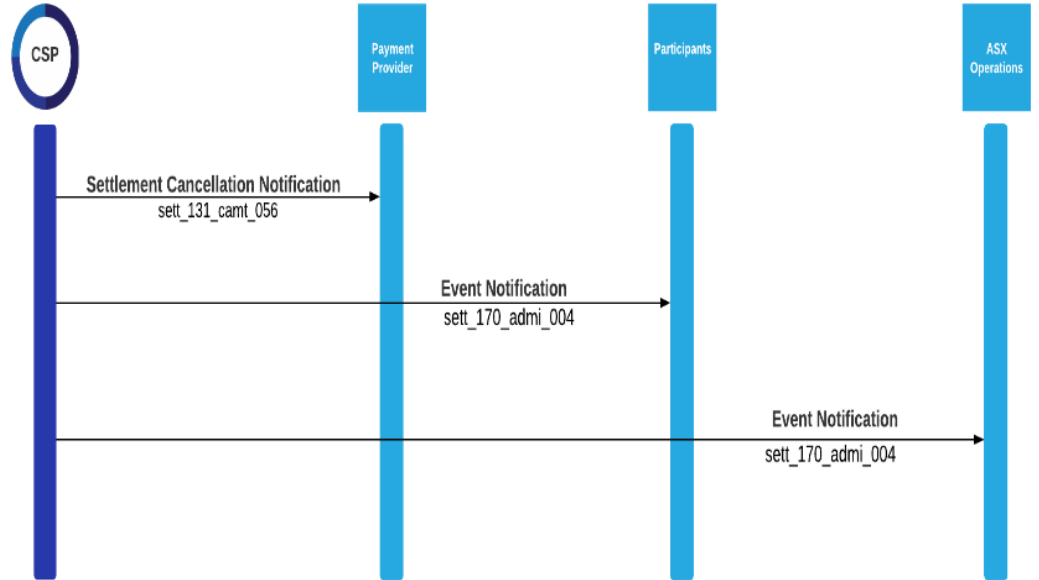
3c Batch settlement

sett_134 - Participant Funds Notification

Name	XML Tag	Mult	Type / Code	Restr
Bank To Customer Account Report V06 (camt.052.001.06)	<BkToCstmrAcctRpt>			
Report	<Rpt>	[1..*]		[1..1]
Balance	<Bal>	[0..*]		[0..1]
Type	<Tp>	[1..1]		
Code Or Proprietary	<CdOrPrtry>	[1..1]	Choice	
Proprietary	<Prtry>	[1..1]	text{1,35}	T/C
Funds Notification			PFNO	
Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
Xml Attribute Currency	<Ccy>		text AUD	
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Date	<Dt>	[1..1]	Choice	
Date	<Dt>	[1..1]	date	
Entry	<Ntry>	[0..*]		[0..1]
Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
Xml Attribute Currency	<Ccy>		text AUD	
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Status	<Sts>	[1..1]	text	
Booked			BOOK	
Value Date	<ValDt>	[0..1]	Choice	[1..1]
Date	<Dt>	[1..1]	date	
Bank Transaction Code	<BkTxCd>	[1..1]		
Proprietary	<Prtry>	[0..1]		[1..1]
Code	<Cd>	[1..1]	text{1,35}	T/C
Net Trust Amount			NTRA	

sett_134 (EIS 150 and EIS 186): camt.052

> Projected Funds Obligation <Balance>

> Actual Net Trust Movement <Entry>

Balance (0..1): Projected Funds Obligation (EIS 150)

Entry (0..1): Actual Net Trust Amount (EIS 186)

ASX

Name	XML Tag	Mult	Type / Code	Restr
Bank To Customer Account Report V06 (camt.052.001.06)	<BkToCstmrAcctRpt>			
Report	<Rpt>	[1..*]		[1..1]
Balance	<Bal>	[0..*]		[0..1]
Type	<Tp>	[1..1]		
Code Or Proprietary	<CdOrPrtry>	[1..1]	Choice	
Proprietary	<Prtry>	[1..1]	text{1,35}	T/C
Funds Notification			PFNO	
Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
Xml Attribute Currency	<Ccy>		text AUD	
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Date	<Dt>	[1..1]	Choice	
Date	<Dt>	[1..1]	date	
Entry	<Ntry>	[0..*]		[0..1]
Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
Xml Attribute Currency	<Ccy>		text AUD	
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Status	<Sts>	[1..1]	text	
Booked			BOOK	
Value Date	<ValDt>	[0..1]	Choice	[1..1]
Date	<Dt>	[1..1]	date	
Bank Transaction Code	<BkTxCd>	[1..1]		
Proprietary	<Prtry>	[0..1]		[1..1]
Code	<Cd>	[1..1]	text{1,35}	T/C
Net Trust Amount			NTRA	

sett_134 (EIS 150 and EIS 186): camt.052

> Projected Funds Obligation <Balance>

> Actual Net Trust Movement <Entry>

Balance (0..1): Projected Funds Obligation

New Type (1..1): Projected Funds Notification (PFNO)

Amount: Projected Net Funds Obligation

Credit/ Debit Indicator (1..1)
Credit: Increase
Debit: Decrease

Entry (0..1): Actual Net Trust Movement

Amount: Trust Amount

Credit/ Debit Indicator (1..1)

Status (1..1): Booked

New Bank Transaction Code(1..1): Net Trust Amount (NTRA)

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3c Batch settlement

sett_133 - Funds Obligation

Name	XML Tag	Mult	Type / Code	Restr
Cash Obligation Report V01 (DRAFT1camt.089.001.01)	<CshOblgtnRpt>			
Settlement Agent Net Position	<SttlmAgtNetPos>	[0..1]		
Net Position Identification	<NetPosId>	[1..1]	text{1,35}	
Net Cash Amount	<NetCshAmt>	[1..1]		
Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
Xml Attribute Currency	<Ccy>		text AUD	
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Settlement Account Net Position	<SttlmAcctNetPos>	[0..*]		[0..1]
Net Position Identification	<NetPosId>	[1..1]	text{1,35}	
Cash Account Owner	<CshAcctOwnr>	[0..1]		[1..1]
Name	<Nm>	[0..1]	text{1,140}	[1..1] T/C
Identification	<Id>	[0..1]	Choice	[1..1]
Organisation Identification	<OrgId>	[1..1]		
Any BIC	<AnyBIC>	[0..1]	text [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}	
Other	<Othr>	[0..*]		[0..1]
Identification	<Id>	[1..1]	text{1,35}	T/C

sett_133 (EIS 310 and EIS 312): camt.089

- per Payment Provider (EIS 312)
- per Payment Facilities (EIS 310)

Settlement Agent Net Position: Per Payment Provider (EIS 312)

Settlement Account Net Position: Per Payment Facilities (EIS 310)

Cash Account (1..1): Payment Facility Id

ASX

3c Batch settlement

sett_133 - Funds Obligation

sett_133 (EIS 310 and EIS 312): camt.089

  ➢ per Payment Provider (EIS 312)

  ➢ per Payment Facilities (EIS 310)

Name	XML Tag	Mult	Type / Code	Restr
Cash Obligation Report V01 (DRAFT1camt.089.001.01)	<CshOblgtnRpt>			
Settlement Agent Net Position	<SttlmAgtNetPos>	[0..1]		
Net Position Identification	<NetPosId>	[1..1]	text{1,35}	
Net Cash Amount	<NetCshAmt>	[1..1]		
Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
Xml Attribute Currency	<Ccy>		text AUD	
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Total Number Of Positions	<TtlNbOfPoss>	[1..1]	1 <= decimal td = 18	T/C
			fd = 0	
Authorisation Reason	<AuthstnRsn>	[0..1]	text{1,35}	T/C
Failure			FAIL	
Primary			PRIM	

Settlement Agent Net Position (EIS 312) : Per Payment Provider

Net Position Identification (1..1): Transaction Id

Net Cash Amount(1..1): Total Fund Obligation

Credit/ Debit Indicator (1..1)

Total Number Of Positions(1..1): Total Message Count

Authorisation Reason(1..1): Authorisation Reason

ASX

3c Batch settlement

sett_133 - Funds Obligation

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Cash Obligation Report V01 (DRAFT1camt.089.001.01)	<CshOblgtnRpt>			
1	Settlement Account Net Position	<SttlmAcctNetPos>	[0..*]		[0..1]
2	Net Position Identification	<NetPosId>	[1..1]	text{1,35}	
2	Cash Account Owner	<CshAcctOwnr>	[0..1]		[1..1]
3	Name	<Nm>	[0..1]	text{1,140}	[1..1]
					T/C
3	Identification	<Id>	[0..1]	Choice	[1..1]
4	Organisation Identification	<OrgId>	[1..1]		
5	Any BIC	<AnyBIC>	[0..1]	text [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}	
5	Other	<Othr>	[0..*]		[0..1]
6	Identification	<Id>	[1..1]	text{1,35}	T/C
2	Cash Account	<CshAcct>	[1..1]		
3	Identification	<Id>	[1..1]	Choice	
4	Other	<Othr>	[1..1]		
5	Identification	<Id>	[1..1]	text{1,34}	T/C
2	Amount	<Amt>	[1..1]		
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
4	Xml Attribute Currency	<Ccy>		text AUD	
2	Trust Amount	<TrstAmt>	[0..1]		[1..1]
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
4	Xml Attribute Currency	<Ccy>		text AUD	
2	Authorisation Required	<AuthstnReqrd>	[1..1]	boolean	
2	Authorisation Reason	<AuthstnRsn>	[0..1]	text{1,35}	[1..1]
					T/C
3	Funds Notification			PFNO	
3	Funds Authorisation			PFAU	

sett_133 (EIS 310 and EIS 312): camt.089

Settlement Agent Net Position (EIS 310): Per Payment Provider

Net Position Identification (1..1): Transaction Id

Name (1..1): Settlement Participant Name (Manager of Payment Facility)

Identification (1..1): Settlement Participant Identifier (Manager of Payment Facility)

Cash Account (1..1): Payment Facility Id

Amount (1..1): Net Fund Obligation

Trust Amount (1..1): Net Trust Amount

Authorisation Required (1..1): Authorisation Required

Authorisation Reason(1..1): Authorisation Reason

ASX

3c Batch settlement

sett_135 - Funds Obligation Status Advice

sett_135 (EIS 310 and EIS 312): camt.089

> Acceptance (EIS 311)

> Rejection (EIS 313)

Name	XML Tag	Mult	Type / Code	Restr
Cash Obligation Status Advice V01 (DRAFT1camt.090.001.01)	<CshOblgtnStsAdvc>			
Net Position Status	<NetPosSts>	[1..*]		[1..1]
Net Position Identification	<NetPosId>	[1..1]	text{1,35}	
Cash Account	<CshAcct>	{0..1}		{1..1}
Identification	<Id>	[1..1]	Choice	
Other	<Othr>	[1..1]		
Identification	<Id>	[1..1]	text{1,34}	T/C
Issuer	<Issr>	[0..1]	text{1,35}	[1..1] T/C
XASX			XASX	
Status	<Sts>	[1..1]	text	
Acknowledged Accepted			PACK	
Rejected			REJT	
Account Servicer Reference	<AcctSvcrRef>	{0..1}	text{1,35}	T/C

→ **Net Position Identification (1..1):** Target Transaction Id

→ **Cash Account (1..1):** Payment Facility Id

→ **Status(1..1)**

→ **Account Servicer Reference (0..1):** Bank Reference

ASX

3c Batch settlement

sett_131 - Settlement Cancellation Notification

Name	XML Tag	Mult	Type / Code	Restr
FI To FI Payment Cancellation Request V06 (camt.056.001.06)	<FIToFIPmtCxlReq>			
Assignment	<Assgnmt>	[1..1]		
Identification	<Id>	[1..1]	text{1,35}	
Assigner	<Assgnr>	[1..1]	Choice	
Agent	<Agt>	[1..1]		
Financial Institution Identification	<FinInstnId>	[1..1]		
BICFI	<BICFI>	[0..1]	text [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}	FV [1..1] T/C
ASX Default BIC			XASXAU2S	
Assignee	<Assgne>	[1..1]	Choice	
Agent	<Agt>	[1..1]		
Financial Institution Identification	<FinInstnId>	[1..1]		
BICFI	<BICFI>	[0..1]	text [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}	
Other	<Othr>	[0..1]		
Identification	<Id>	[1..1]	text{1,35}	T/C
Creation Date Time	<CreDtTm>	[1..1]	dateTime	T/C
Underlying	<Undrlyg>	[1..*]		[1..1]
Transaction Information	<TxInf>	[0..*]		[1..1]
Original Interbank Settlement Date	<OrgnlIntrBkSttlmDt>	[0..1]	date	[1..1]

sett_131 (EIS 398): camt.056

Identification (1..1): Transaction Id

Assigner (1..1): default ASX BIC

Assignee (1..1): UIC or BIC of the receiver of the message

Original Interbank Settlement Date (1..1): Settlement Date

ASX

3c Batch settlement

sett_129 - Suspended Settlement Instruction Status Advice

Name	XML Tag	Mult	Type / Code	Restr
Securities Settlement Transaction Status Advice V08 (sese.024.001.08)	<SctiesSttlmTxStsAdvc>			
Transaction Identification	<TxId>	[1..1]		
Account Owner Transaction Identification	<AcctOwnrTxId>	[1..1]	text{1,35}	
Market Infrastructure Transaction Identification	<MktInfrstrctrTxId>	[0..1]	text{1,35}	[1..1]
Processing Status	<PrcgSts>	[0..1]	Choice	[1..1]
Proprietary	<Prtry>	[1..1]		
Proprietary Status	<PrtrySts>	[1..1]		
Identification	<Id>	[1..1]	text	T/C
Suspended			SUSP	
Issuer	<Issr>	[1..1]	text{1,35}	T/C
XASX			XASX	
Proprietary Reason	<PrtryRsn>	[0..*]		[1..1]
Reason	<Rsn>	[0..1]		[1..1]
Identification	<Id>	[1..1]	text	T/C
Subregister Closed			SUBC	
Issuer	<Issr>	[1..1]	text{1,35}	T/C
XASX			XASX	

sett_129 (EIS 162): sese.024

➢ Suspended Settlement Instruction – Status Advice

Target Transaction Id (1..1): Transaction Id of the scheduled settlement obligation being suspended.

Status: Suspended (1..1)
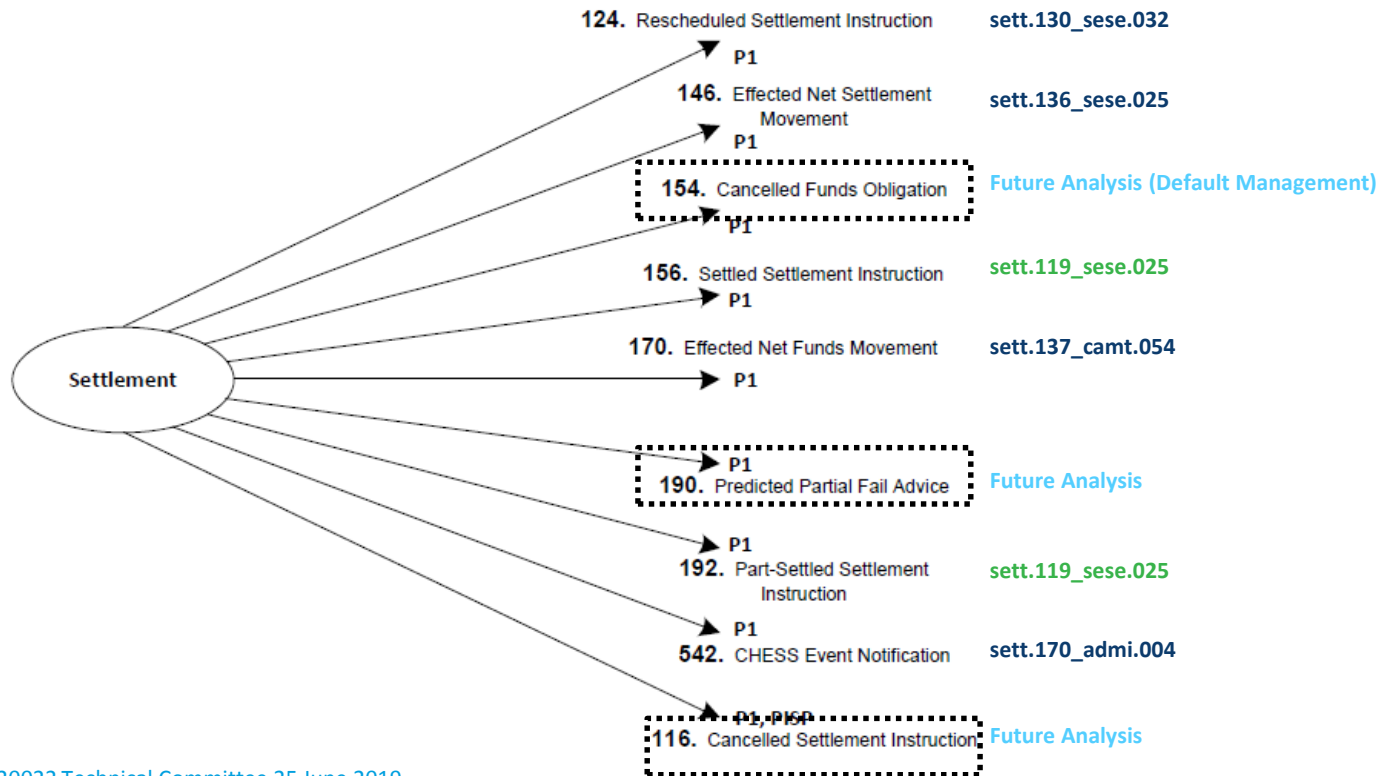- Settlement Obligation has been Suspended

Reason (1..1): Sub-Register Closed
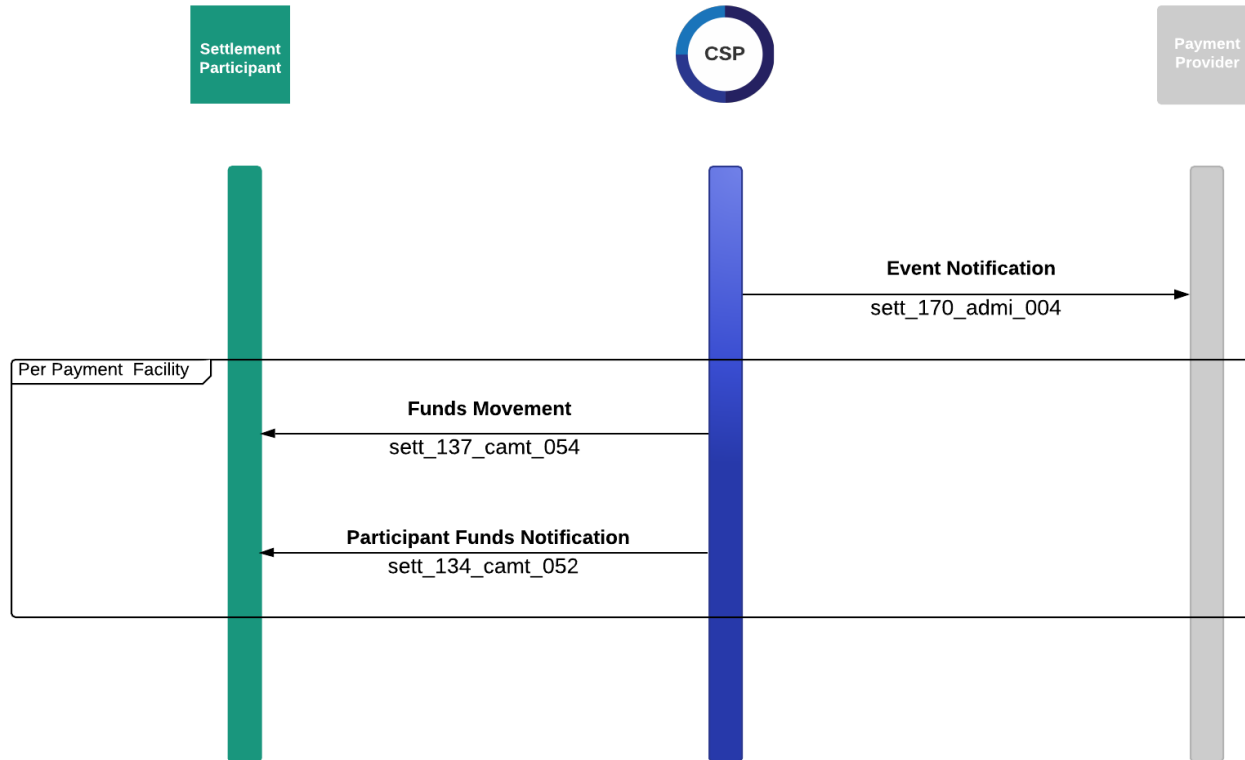- Indicates the reason why the requested change was rejected

ASX

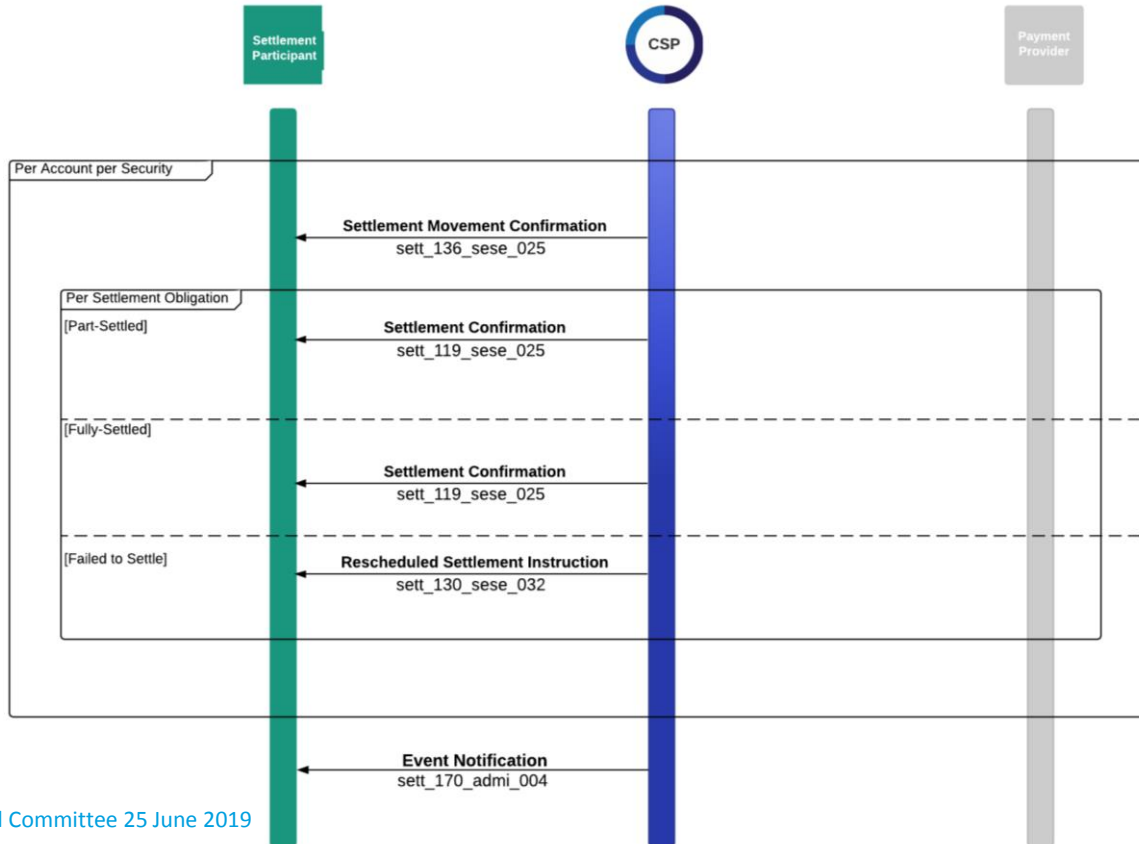## 'To-be' message consolidation - Settlement Movement of units

3c Batch settlement
Fund Notification uml flow

Settlement Movement of units uml flow

sett_130 - Rescheduled Settlement Instruction

Name	XML Tag	Mult	Type / Code	Restr
Securities Settlement Transaction Generation Notification	<SctiesSttlmTxGnrtnNtfct>			
Transaction Identification Details	<TxIdDtls>	[1..1]		
Account Owner Transaction Identification	<AcctOwnrTxId>	[1..1]	text{1,35}	
Market Infrastructure Transaction Identification	<MktInfrstrctrTxId>	[0..1]	text{1,35}	
Trade Details	<TradDtls>	[1..1]		
Settlement Date	<SttlmDt>	[1..1]	Choice	
Date	<Dt>	[1..1]	Choice	
Date	<Dt>	[1..1]	date	
Settlement Instruction Processing Additional Details	<SttlmInstrPrcgAddtlDtls>	[0..1]	text{1,350}	[1..1]
Financial Instrument Identification	<FinInstrmId>	[1..1]		
Quantity And Account Details	<QtyAndAcctDtls>	[1..*]		[1..1]
Settlement Quantity	<SttlmQty>	[1..1]	Choice	
Quantity	<Qty>	[1..1]	Choice	
Unit	<Unit>	[1..1]	decimal	
Safekeeping Account	<SfkpgAcct>	[1..1]		
Identification	<Id>	[1..1]	text{1,35}	T/C

sett_130 (EIS 124): sese.032

➢ Rescheduled Settlement Instruction

Target Transaction Id (1..1): Transaction Id of the settlement obligation being Rescheduled.

Rescheduled Settlement Date (1..1): Rescheduled settlement date for the remaining units and cash amounts

Current Settlement Date (1..1): Current business date of batch settlement cycle.

New Remaining Units Awaiting Settlement (1..1): Number of outstanding units, rescheduled for settlement.

ASX

3c Batch settlement
sett_130 - Rescheduled Settlement Instruction

Name	XML Tag	Mult	Type / Code	Restr
Settlement Amount	<SttlmAmt>	[0..1]		
Amount	<Amt>	[1..1]	0 <= decimal	T/C
Xml Attribute Currency	<Ccy>		text	
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Other Amounts	<OthrAmts>	[0..1]		
Other	<Othr>	[0..1]		
Amount	<Amt>	[1..1]	0 <= decimal	T/C
Xml Attribute Currency	<Ccy>		text	
			AUD	
Credit Debit Indicator	<CdtDbtInd>	[0..1]	text	
Credit			CRDT	
Debit			DBIT	
Status And Reason	<StsAndRsn>	[0..1]		[1..1]
Settlement Status	<SttlmSts>	[0..1]	Choice	[1..1]
Pending	<Pdg>	[1..1]	Choice	
Reason	<Rsn>	[1..*]		[1..1]
Code	<Cd>	[1..1]	Choice	
Proprietary	<Prtry>	[1..1]		
Identification	<Id>	[1..1]	text	T/C
Issuer	<Issr>	[1..1]	text{1,35}	T/C
XASX			XASX	

sett_130 (EIS 124): sese.032

➤ Rescheduled Settlement Instruction

New Remaining Cash Awaiting Settlement (0..1): Outstanding cash amount, rescheduled for settlement. (applicable for NBOs)

New Value SSP Adjustment (0..1): Standard Settlement Price adjustment (applicable for NBOs)

Status (1..1): Settlement status 'Pending'

Reason (1..1): Reason for rescheduling the settlement obligation.
ASX Proprietary Code list: RescheduleReasonCodes_ASX_1

3c Batch settlement
sett_137 - Effected Net Funds Movement Confirmation

Name	XML Tag	Mult	Type / Code	Restr
Bank To Customer Debit Credit Notification V08	<BkToCstmrDbtCdtNtfctn			
Group Header	<GrpHdr>	[1..1]		
Notification	<Ntfctn>	[1..*]		[1..1]
Identification	<Id>	[1..1]	text{1,35}	
Account	<Acct>	[1..1]		
Identification	<Id>	[1..1]	Choice	
Other	<Othr>	[1..1]		
Identification	<Id>	[1..1]	text{1,34}	T/C
Transactions Summary	<TxsSummry>	[0..1]		[1..1]
Total Entries	<TtlNtries>	[0..1]		[1..1]
Number Of Entries	<NbOfNtries>	[0..1]	text	[1..1]
Entry	<Ntry>	[0..*]		[1..1]
Amount	<Amt>	[1..1]	0 <= decimal	T/C
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Status	<Sts>	[1..1]	Choice	
Code	<Cd>	[1..1]	text{1,4}	T/C
Booked			BOOK	
Value Date	<ValDt>	[0..1]	Choice	[1..1]
Date	<Dt>	[1..1]	date	
Bank Transaction Code	<BkTxCd>	[1..1]		
Proprietary	<Prtry>	[0..1]		[1..1]
Code	<Cd>	[1..1]	text{1,35}	T/C
Effected Net Funds Movement			ENFM	
Additional Entry Information	<AddtlNtryInf>	[0..1]	text{1,500}	[1..1]

sett_137 (EIS 170): camt.054
➢ Effected Net Funds Movement Notification

Account Identifier (1..1): Payment facility Id

Number of Entries (1..1): Number of settlement instructions contributing to the settlement amount

Settlement Amount (1..1)

New Transaction Code (1..1): Effected net funds movement (ENFM)

Settlement batch Id (1..1): Unique Id for the current batch settlement cycle

ASX

Name	XML Tag	Mult	Type / Code	Restr
Securities Settlement Transaction Confirmation V07	<SctiesSttlmTxConf>			
Transaction Identification Details	<TxIdDtls>	[1..1]		
Account Owner Transaction Identification	<AcctOwnrTxId>	[1..1]	text{1,35}	
Trade Details	<TradDtls>	[1..1]		
Effective Settlement Date	<EctvSttlmDt>	[1..1]	Choice	
Date	<Dt>	[1..1]	Choice	
Date	<Dt>	[1..1]	date	
Financial Instrument Identification	<FinInstrmId>	[1..1]		
Quantity And Account Details	<QtyAndAcctDtls>	[1..1]		
Settled Quantity	<SttldQty>	[1..1]	Choice	
Quantity	<Qty>	[1..1]	Choice	
Unit	<Unit>	[1..1]	decimal	
Safekeeping Account	<SfkpgAcct>	[1..1]		
Identification	<Id>	[1..1]	text{1,35}	T/C
Settlement Parameters	<SttlmParams>	[1..1]		
Securities Transaction Type	<SctiesTxTp>	[1..1]	Choice	
Proprietary	<Prtry>	[1..1]		
Identification	<Id>	[1..1]	text	T/C
Supplementary Data	<SplmtryData>	[0..*]		[1..1]
Place And Name	<PlcAndNm>	[0..1]	text{1,350}	
Envelope	<Envlp>	[1..1]		T/C
Net Settlement Movement Attributes	<NetSttlmMvmntAttrbts>	[1..1]		A
New Holding Balance	<NewHldgBal>	[1..1]	decimal	(A)
Number Of Entries	<NbOfNtries>	[1..1]	text	(A)

sett_136 (EIS 146): sese.025
- Effected Net Settlement Movement

Effective Settlement Date (1..1): Current Business Date

Settled Quantity (1..1): Net total of units settled in settlement cycle

Safekeeping Account (1..1): Account with a holding movement.

New Holding Balance (1..1): Total balance of the security within the account following the adjustments of the settlement cycle

Number of Settlement Obligations (1..1): Number of settlement instructions contributing to the net unit movement for the account

ASX

3c Batch settlement

sett_119 - Settlement Confirmation

Name	XML Tag	Mult	Type / Code	Restr
Securities Settlement Transaction Confirmation V07	<SctiesSttlmTxConf>			
Transaction Identification Details	<TxIdDtls>	[1..1]		
Account Owner Transaction Identification	<AcctOwnrTxId>	[1..1]	text{1,35}	
Account Servicer Transaction Identification	<AcctSvcrTxId>	[0..1]	text{1,35}	
Market Infrastructure Transaction Identification	<MktInfrstrctrTxId>	[0..1]	text{1,35}	[1..1]
Processor Transaction Identification	<PrcrTxId>	[0..1]	text{1,35}	[1..1]
Securities Movement Type	<SctiesMvmntTp>	[1..1]	text	
Delivery			DELI	
Receive			RECE	
Payment	<Pmt>	[1..1]	text	
Separate Settlement			FREE	
Against Payment Settlement			APMT	
Common Identification	<CmonId>	[0..1]	text{1,35}	
Additional Parameters	<AddtlParams>	[0..1]		
Partial Settlement	<PrtlSttlm>	[0..1]	text	
Partial Settlement			PAIN	
Trade Details	<TradDtls>	[1..1]		
Settlement Date	<SttlmDt>	[0..1]	Choice	
Date	<Dt>	[1..1]	Choice	
Date	<Dt>	[1..1]	date	
Effective Settlement Date	<FctvSttlmDt>	[1..1]	Choice	
Date	<Dt>	[1..1]	Choice	
Date	<Dt>	[1..1]	date	

sett_119 (EIS 156, EIS 192): sese.025

➤ Settlement Confirmation

Transaction Id (1..1): Unique System generated Id

Market Infra Transaction Id (1..1): Obligation Id
Processor Transaction Id(1..1): Net Funds Transaction Id

New Payment (1..1): FREE/ APMT

New Partial Settlement (0..1): 'PAIN' used in case of partial settlement confirmation

Rescheduled Settlement Date (0..1): Date of settlement of remaining units/cash.

New Effective Settlement Date (1..1): Current Business Date

ASX

3c Batch settlement

sett_119 - Settlement Confirmation

Name	XML Tag	Mult	Type / Code	Restr
Quantity And Account Details	<QtyAndAcctDtls>	[1..1]		
Settled Quantity	<SttldQty>	[1..1]	Choice	
Quantity	<Qty>	[1..1]	Choice	
Unit	<Unit>	[1..1]	decimal	
Previously Settled Quantity	<PrevslySttldQty>	[0..1]	Choice	
Unit	<Unit>	[1..1]	decimal	
Remaining To Be Settled Quantity	<RmngToBeSttldQty>	[0..1]	Choice	
Unit	<Unit>	[1..1]	decimal	
Previously Settled Amount	<PrevslySttldAmt>	[0..1]		
Amount	<Amt>	[1..1]	0 <= decimal	T/C
Remaining To Be Settled Amount	<RmngToBeSttldAmt>	[0..1]		
Amount	<Amt>	[1..1]	0 <= decimal	T/C
Xml Attribute Currency	<Ccy>		text	
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Safekeeping Account	<SfkpgAcct>	[1..1]		
Identification	<Id>	[1..1]	text{1,35}	T/C
Cash Account	<CshAcct>	[0..1]	Choice	
Proprietary	<Prtry>	[1..1]	text{1,34}	T/C

sett_119 (EIS 156, EIS 192): sese.025

➢ Settlement Confirmation

Settled Units (1..1): Number of units settled in the current settlement cycle

New Previously Settled Units (0..1): The total number of units settled in previous settlement cycles.

New Remaining Units (0..1): Number of outstanding units, rescheduled for settlement

New Previously Settled Amount (0..1): Total cash amount settled in previous settlement cycles.

New Remaining Cash Awaiting Settlement (0..1): Outstanding cash amount, rescheduled for settlement.

ASX

sett_119 - Settlement Confirmation

Name	XML Tag	Mul	Type / Code	Rest
Settlement Parameters	<SttlmParams>	[1..1]		
Settlement Transaction	<SttlmTxCond>	[0..*]	Choice	[0..1]
Proprietary	<Prtry>	[1..1]		
Identification	<Id>	[1..1]	text	T/C
Bilateral Settlement			BSSI	
Unilateral Settlement			USSI	
Bilateral Demand			BDSI	
Net Broker Obligation			NBOB	
Gross Market Trade			GMTD	
Settled Amount	<SttldAmt>	[0..1]		[1..1]
Amount	<Amt>	[1..1]	0 <= decimal	T/C
Xml Attribute Currency	<Ccy>		text	
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
Credit			CRDT	
Debit			DBIT	
Other Amounts	<OthrAmts>	[0..1]		
Other	<Othr>	[0..1]		
Amount	<Amt>	[1..1]	0 <= decimal	T/C
Supplementary Data	<SplmtryData>	[0..*]		[1..1]
Envelope	<Envlp>	[1..1]		T/C
Settlement Attributes	<SttlmAttrbts>	[1..1]		A
Value Units Settled	<ValUnitSettld>	[0..1]		(A)
Amount	<Amt>	[1..1]	0 <= decimal	(A) T/C
Xml Attribute Currency	<Ccy>		text	(A)
Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	(A)
Credit			CRDT	(A)
Debit			DBIT	(A)
Holding Balance	<HldgBal>	[0..1]		(A)
Delivering Holding Balance	<DlvrgHldgBal>	[0..1]	decimal	(A)
Receiving Holding Balance	<RcvgHldgBal>	[0..1]	decimal	(A)

sett_119 (EIS 156, EIS 192): sese.025
➤ Settlement Confirmation

New Settlement Transaction Condition (0..1): Codes used to identify the type of settlement transaction

Settled Amount (1..1): Cash amount settled in the current settlement cycle

New Other Amount (0..1): Standard Settlement Price adjustment (applicable for Net Broker Obligation 'NBOB').

New Value of Units Settled (0..1)

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3d 'To-be' messages for review
Batch settlement and republished hold_226

To-be Message Id	Collection
sett_119	draft_sett
sett_129	draft_sett
sett_130	draft_sett
sett_131	draft_sett
sett_133	draft_sett
sett_134	draft_sett
sett_135	draft_sett
sett_136	draft_sett
sett_137	draft_sett
~~hold_226~~	~~draft_hold~~

MyStandards 'to-be' documentation

Community:	ASX ISO 20022 Technical Committee
Collection:	ASX_AU_CHS_draft_sett
	~~ASX_AU_CHS_draft_hold~~

Further details (attached to Message Definitions in MyStandards)
- Message Model
- Sample .xml
    - Valid .xml samples to illustrate message structure
    - Not intended to cover full business usage
- ASX Proprietary Code list (attached to collection)

ASX requests TC member feedback via comments in MyStandards by Tuesday 9 July 2019 ready for ASX review

ASX

4. Standing agenda items

4a CHESS Replacement Project update

On-track for March/April 2021 go-live of DLT-based CHESS

Jan 2016	Jan 2017	Jan 2018	Jan 2019	TODAY	Jan 2020	Jan 2021

Evaluation and consultation — **Build** — **Market trials and implementation**

Assessment of technology and partner, prototype built	DA & DLT selected	Enterprise-grade build	Incremental external software drops	Industry-wide testing	Go-live Mar/Apr
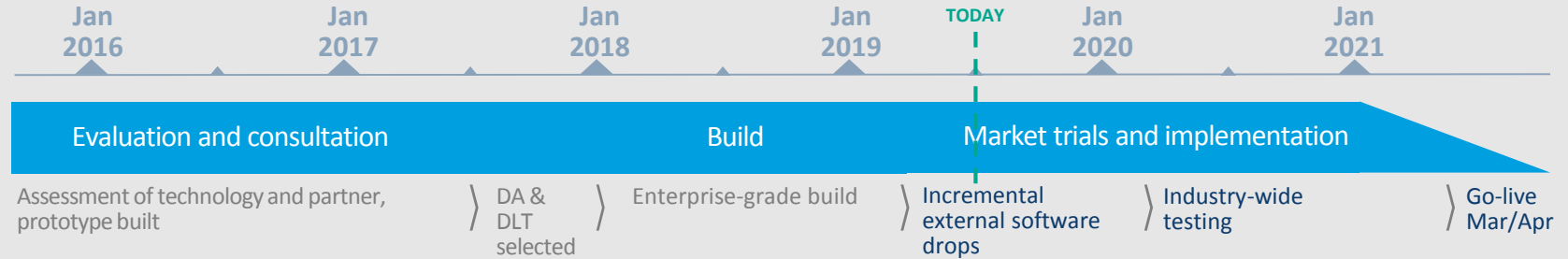
DLT-based CHESS will offer existing functionality, new features and an option to connect to real-time source of truth data

Current CHESS

Upgrade to modern application

Update to global standard messaging protocol

Carry through existing functionality

New CHESS system

`0101010101`
`0101010101`
`0101010101`

+

35 new functions requested by market

+

Optional synchronised source of truth data store

ASX
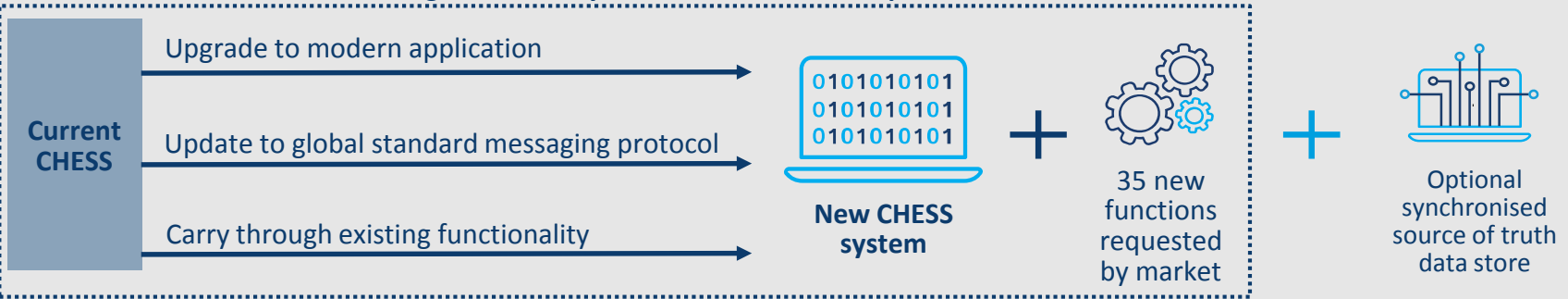
4b ISO 20022 project update by ASX

To-be' mapping:

> Topics in progress:

- Settlement
- Transfer of Novated Equity Transactions between Clearing Participants (Give-up and Take-up)
- Holding Adjustment
- Corporate Actions
- mFunds
- Reports
- Collateral

> Global ISO 20022 engagement

- ISO 20022 Securities Standards Evaluation Group (SEG)
- T2S Evaluation Team (sub group of SEG)
- BAH change request
- Business Justification for new messages

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4c Update from Business Committee

5. Closing

ASX

5. Closing and next meeting

> Noted actions from this meeting
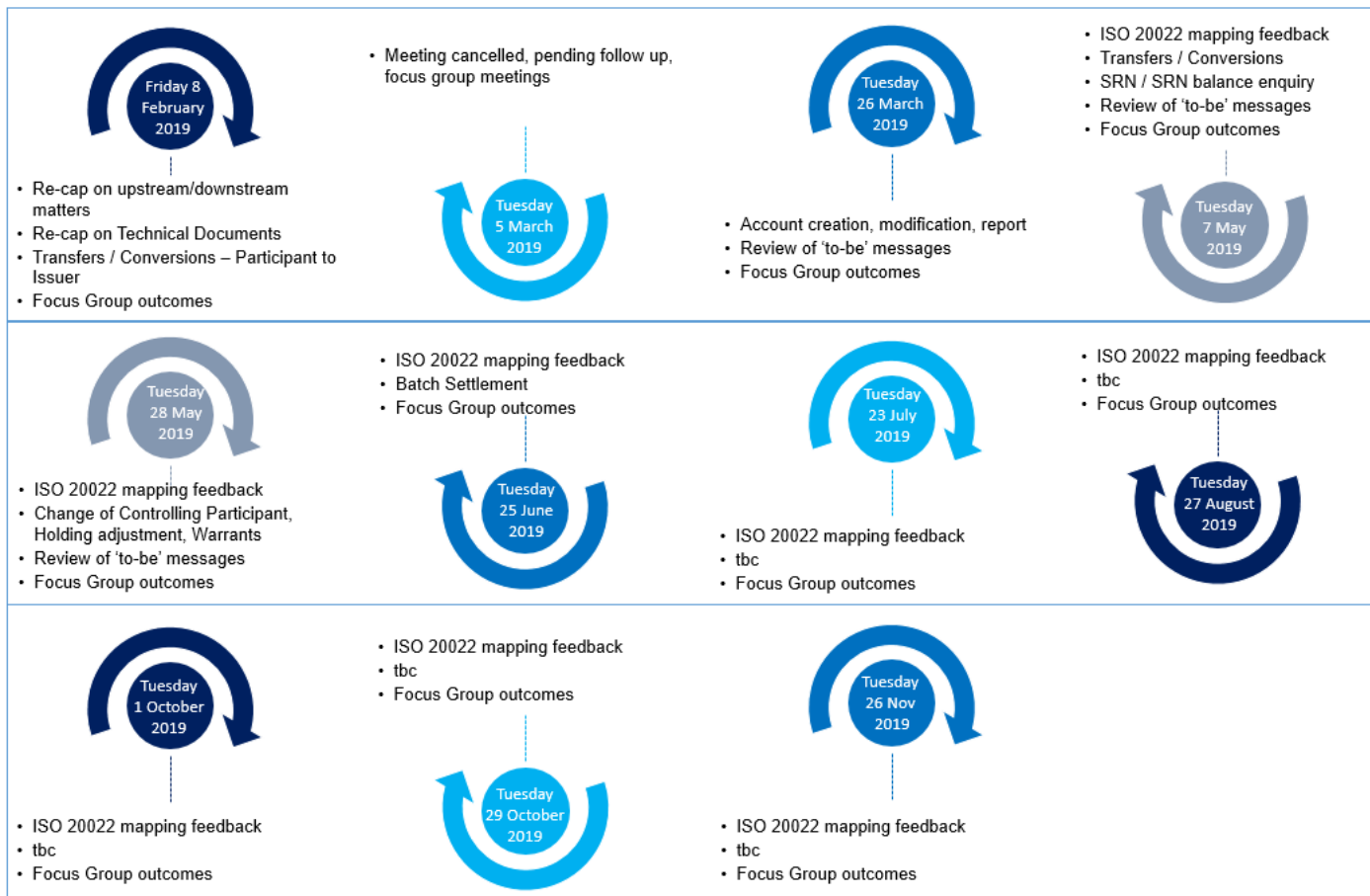
> Draft minutes from this meeting will be distributed for review

> Next meeting to be held Tuesday 23 July 2019 – Sydney, webinar;

- proposed topics to be confirmed

> Forward meeting plan – see next page

More information on CHESS Replacement & Technical Committee documents:

http://www.asx.com.au/services/chess-replacement.htm

Or email ASX project team: CHESSReplacement@asx.com.au

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5. Closing and forward meeting plan

Friday 8 February 2019
- Re-cap on upstream/downstream matters
- Re-cap on Technical Documents
- Transfers / Conversions – Participant to Issuer
- Focus Group outcomes

Tuesday 5 March 2019
- Meeting cancelled, pending follow up, focus group meetings

Tuesday 26 March 2019
- Account creation, modification, report
- Review of 'to-be' messages
- Focus Group outcomes

Tuesday 7 May 2019
- ISO 20022 mapping feedback
- Transfers / Conversions
- SRN / SRN balance enquiry
- Review of 'to-be' messages
- Focus Group outcomes

Tuesday 28 May 2019
- ISO 20022 mapping feedback
- Change of Controlling Participant, Holding adjustment, Warrants
- Review of 'to-be' messages
- Focus Group outcomes

Tuesday 25 June 2019
- ISO 20022 mapping feedback
- Batch Settlement
- Focus Group outcomes

Tuesday 23 July 2019
- ISO 20022 mapping feedback
- tbc
- Focus Group outcomes

Tuesday 27 August 2019
- ISO 20022 mapping feedback
- tbc
- Focus Group outcomes

Tuesday 1 October 2019
- ISO 20022 mapping feedback
- tbc
- Focus Group outcomes

Tuesday 29 October 2019
- ISO 20022 mapping feedback
- tbc
- Focus Group outcomes

Tuesday 26 Nov 2019
- ISO 20022 mapping feedback
- tbc
- Focus Group outcomes

ASX

Thank you.

ASX

ISO 20022 Stream – Message Status

Business area	EIS 'as-is' in scope — Total number of relevant EIS messages	ISO 20022 messages done — Drop 1 / 14Dec18	Drop 2 / 29Mar19	Drop 3 / 30May19	Total	EIS 'as-is' covered in 'to-be' drops — Confirmed descoped EIS messages	Confirmed EIS messages covered in Drops**	Total EIS messaged covered	Additional drafts shared with Technical Committee — TC only: not yet in Tech Docs	Equiv. EIS
Account management (acct)	14		1	4*	5	1	6	7		
Operations Admin (admn)	11									
Common (comm)	2	3			3		2	2		
RTGS (gset)	60									
Holding movement (hold)	88	9			9		16	16	19	67
mFund Service (mfnd)	73									
Pledge and Lodge Management (pldg)	85									
Reporting (rptg)	36									
Settlement (sett)	51	16	2	3	21	4	22	26		
Total	**420**	**28**	**3**	**7**	**38**	**5**	**46**	**51 / 12%**	**19**	**67**

*Removed account from DROP 1
**includes consolidation of a number of EIS messages into a lower number of equivalent ISO 20022 messages

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