

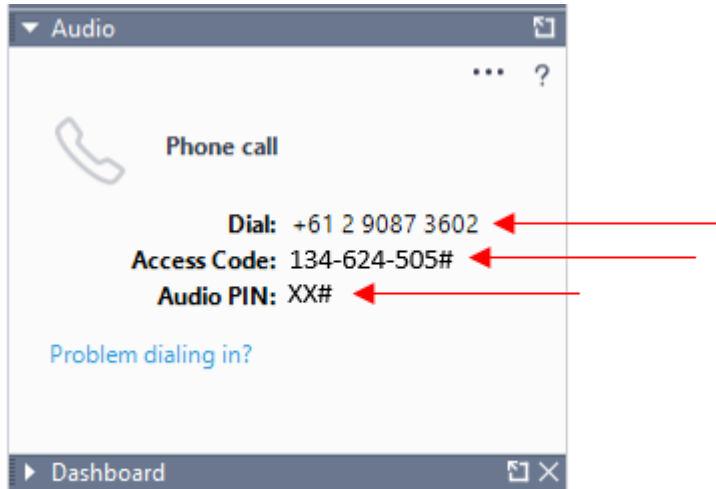


ISO 20022 Technical Committee Meeting

27 August 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.

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 Collateral removal

3d Transfer of Novated Equities Transactions (Give-Ups)

3e 'To-be' messages for review

4. Standing agenda items:

4a CHES 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 23 July 2019 meeting available on [CHES 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 is closed) 2. whether settlement requests could be future dated; (this item is closed) 3. ASX would also consider the visibility of holding locks to issuers on an intra-day basis.	ASX	27 Aug 2019	
84	28 May 2019	ASX will not provide backward compatibility, but will evaluate how to provide better transparency on substantive changes. 25 Jun 2019: Members to provide feedback on commonly used fields they believe are relevant and substantive for ASX to consider how it could provide better visibility on these standard field length and other characteristics. 23 Jul 2019: Additionally, ASX to provide clarity on the reason behind the unit quantity field change, and advise whether it would include decimal values.	ASX / Members	27 Aug 2019	Propose to close

2. Minutes and actions

Minutes for 23 July 2019 meeting available on [CHES Replacement web page](#). Open action items:

#	Meeting Date	Open Action Items	Owner	Due Date	Status
85	28 May 2019	ASX to consider inclusion of investor identity (HIN) to allow a validation pre change of controlling participant transfer. 25 Jun 2019: Members to provide specific feedback regarding mismatches, including statistics on the frequency and where mismatches occur and pose a risk.	ASX / Members	27 Aug 2019	Propose to close
88	23 Jul 2019	ASX to provide details of the draft T2S messages it intended to use.	ASX	27 Aug 2019	Propose to close
89	23 Jul 2019	ASX to consider how it can make the document it publishes capturing member feedback via MyStandards and ASX s responses more user-friendly, including to investigate whether it could be published or emailed as an excel file instead of a PDF.	ASX	27 Aug 2019	Propose to close
90	23 Jul 2019	ASX to confirm within the Reference point products that include takeover offer information.	ASX	27 Aug 2019	Propose to close
91	23 Jul 2019	ASX to provide an update on the status of work being progressed as Business-As-Usual regarding enforcement of turnaround times on the participant side for takeover acceptances.	ASX	27 Aug 2019	Propose to close

2. Minutes and actions

Minutes for 23 July 2019 meeting available on [CHES Replacement web page](#). Open action items:

#	Meeting Date	Open Action Items	Owner	Due Date	Status
92	23 Jul 2019	ASX to consider whether a seev_036 base message could be used in place of pldg_303_semt_015 for confirmation of the bid finalisation trigger.	ASX	27 Aug 2019	Propose to close
93	23 Jul 2019	ASX to consider whether the field ' Accepted for Further Processing ' in evnt_743_seev_043 should use AUTH for pending, or whether another code would be better suited.	ASX	27 Aug 2019	Propose to close

2. Minutes and actions

Action item 88 – Draft T2S messages in scope (@ Aug 2019)

Function name	CHES EIS equivalent	Name of T2S candidate	Name of ASX message	Complete or forward schedule
SRN Enquiry	451, 454, 457, 466, 837, 838	DRAFT5semt_025	Hold_217	Complete (released June 2019 – Part II)
SRN Enquiry	453, 458, 459, 470, 839, 840	DRAFT3semt.040	Hold_219	Complete (released June 2019 – Part II)
Code change	050	DRAFT4reda.009	tbc	Target - Q4 2019
Security Detail	096	DRAFT5reda.012	tbc	Target - Q4 2019

As noted in the 23 July meeting minutes – as part of ‘as-is’ mapping, ASX/SWIFT had earmarked about 25 draft T2S messages for use. The definition of ‘to-be’ messages has actually resulted in fewer targeted draft T2S messages.

3. Matters for consideration

3a Focus Group update

Corporate Actions

- > Focus group 13 August 2019
- > 3rd session in the corporate actions series
- > Feedback due by 30 August
- > Next focus group 17 September, topic mFunds
- > ASX plans to provide a consolidated, ISO-compliant messaging set that allows Corporate Action Elections for the following scenarios:
 - Dividends (Cash, DRP, BSP), Rights Issues (Renounceable, Non-Renounceable & Accelerated), Share Purchase Plans, Off-Market Takeovers, Equal-Access Buybacks, Any additional events which use the Takeover Facility today (e.g. Re-Investment Offers)
- > Elections may be accompanied by an applicable RTGS payment.
- > Election message will contain information tying the election and option to the relevant event.
- > Where elections change at the issuer, the issuer will notify the participant via a CHES message.
- > The proposal will support scale backs, where a payment from issuer to participant is generated.
- > Additional analysis underway to determine whether a) foreign cash should be included in scope, b) enhancements for retail customers.

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

Takeover and buyback, collateral creation

Messages shared during Technical Committee 23 July 2019:

- **Takeover and buyback**
 - Comments on 6 guidelines by 4 members (2 Vendors, 2 Participants)
 - Total of 28 comments received which has resulted in changed base message mapping of the following message
 - pldg_303_semt.015 replaced by evnt_743_seev_034 in a bid finalisation process.
- **Collateral creation**
 - Comments on 4 guidelines by 3 members (1 Vendor, 2 Participants)
 - Total of 14 comments received
- **Batch Settlement – EIS 146 (sett_136_sese_025) Message**
 - Based on member feedback and advice from SWIFT, ASX has changed the ISO base message for sett_136 from sese.025 to semt.002. This message informs participants of the net unit movement. The message will be published for member review.

3c Collateral removal

Overview

Overview

A participant can request the removal of cash equities collateral used to cover margin obligations for Exchange Traded Options (ETOs) positions & Cash Market Margins (CMM).

If the collateral removal request is accepted by ASX Clear then the collateral is removed from the sub-position and results in an increase in the available holding of the specific security on the account. ASX Clear can remove collateral when the security becomes ineligible for use as collateral.

What's Changing?

- Consolidation of message types used to request removal collateral will be the same for ETOs and CMM as a single base ISO message can be used for pledging or removal of collateral requests.
- A unique transaction id will be used across the entire workflow instead of generating a new transaction id when a request or response is received.
- Simplified workflow for ISO messages for accept or reject response notification to participants or ASX Clear through status updates.

3d Collateral removal

'To-be' message consolidation table

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Request	EIS 029 - Collateral Removal Request EIS 182 - Collateral Removal to CP Notification EIS 168 - CP Collateral Removal Authorisation Request EIS 612 - Collateral Removal Authorisation Request EIS 023 - ASX Clear Collateral Removal Request EIS 877 - Margin Cover Removal Request EIS 882 - Margin Cover Removal Authorisation Request EIS 883 - ASX Clear Removal Margin Cover	pldg_301	sem_t_013	Intra Position Movement Instruction	Participant, CSP, ASX Clear	CSP, ASX Clear, CP
Status Advice	EIS 040 - Accepted Collateral Removal Request EIS 103 - CP Collateral Removal Authorisation EIS 109 - CP Collateral Removal Rejection EIS 078 - Rejected Collateral Removal EIS 160 - Collateral Removal Rejection Advice EIS 603 - Collateral Removal Authorisation EIS 605 - Collateral Removal Rejection EIS 120 - CP Collateral Removal Rejection Advice EIS 880 - Accepted Margin Cover Removal Request EIS 879 - Margin Cover Removal Authorisation EIS 931 - Margin Cover Removal Rejection EIS 956 - Rejected Margin Cover Removal Request EIS 612 - Collateral Removal Authorisation Request	pldg_302	sem_t_014	Intra Position Movement Authorisation	CSP, ASX Clear, CP	CSP, Participant, CP, ASX Clear

3c Collateral removal

'To-be' message consolidation table

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Confirmation	EIS 030 - Reduced Collateral EIS 110 - CP Collateral Removal Acceptance Advice EIS 878 - Reduced Margin Cover EIS 082 - Adjusted Subposition	pldg_303	semt_015	Intra Position Movement Confirmation	CSP	Participant, CP
Confirmation	EIS 144 - Effected CP Transaction EIS 602 - Effected ASX Clear Transaction EIS 878 - Reduced Margin Cover	comm_809	admi_007	Transaction Acknowledgement Advice	CSP	ASX Clear, CP
Request	EIS 601 - Collateral Release Request EIS 885 -ASX Clear Margin Cover Removal Request	pldg_304	sese_023	Collateral Release Request	ASX Clear	CSP
Confirmation	EIS 042 - Collateral Release EIS 874 - Effected Margin Cover Release and Transfer	pldg_305	sese_025	Collateral Release Confirmation	CSP	Participant

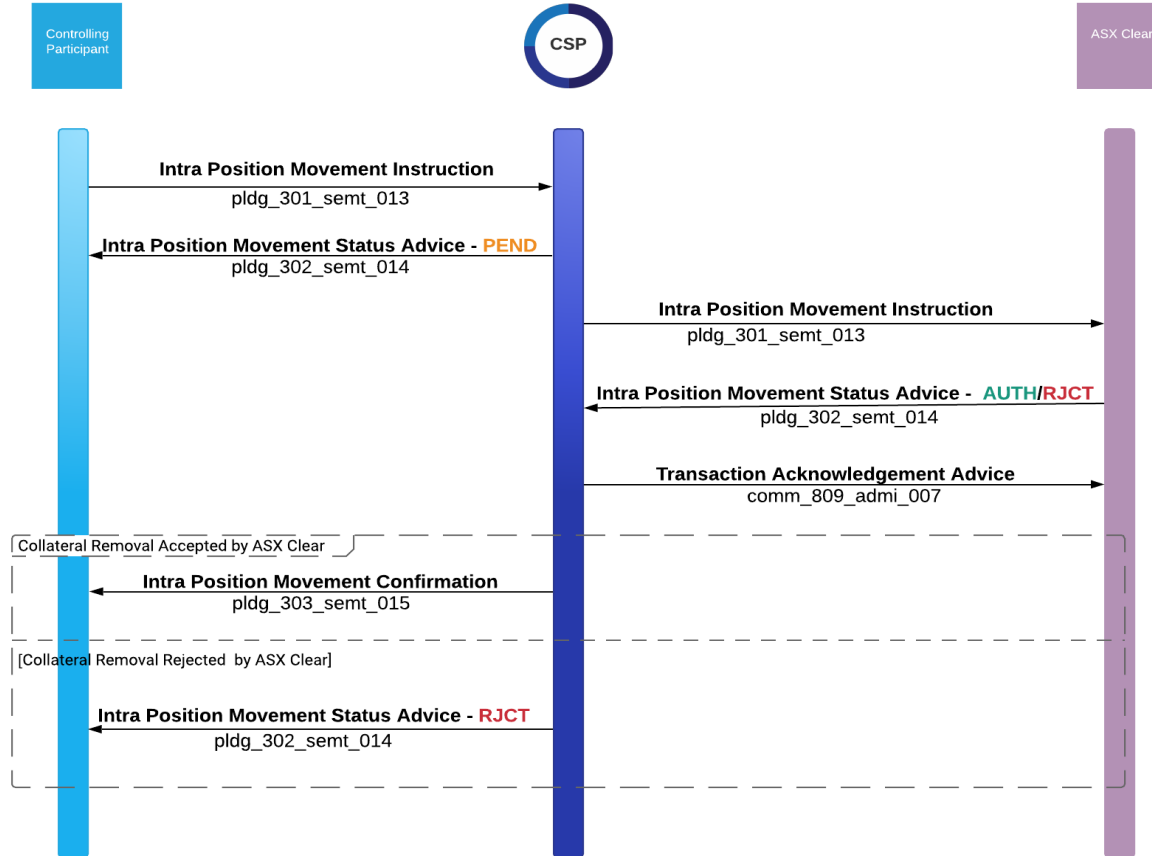
Consolidation:

30 unique messages were consolidated to 6 messages

- 4 Reused messages from Collateral Creation (pldg_301, pldg_302, pldg_303, comm_809)
- 2 New messages (pldg_304, pldg_305)

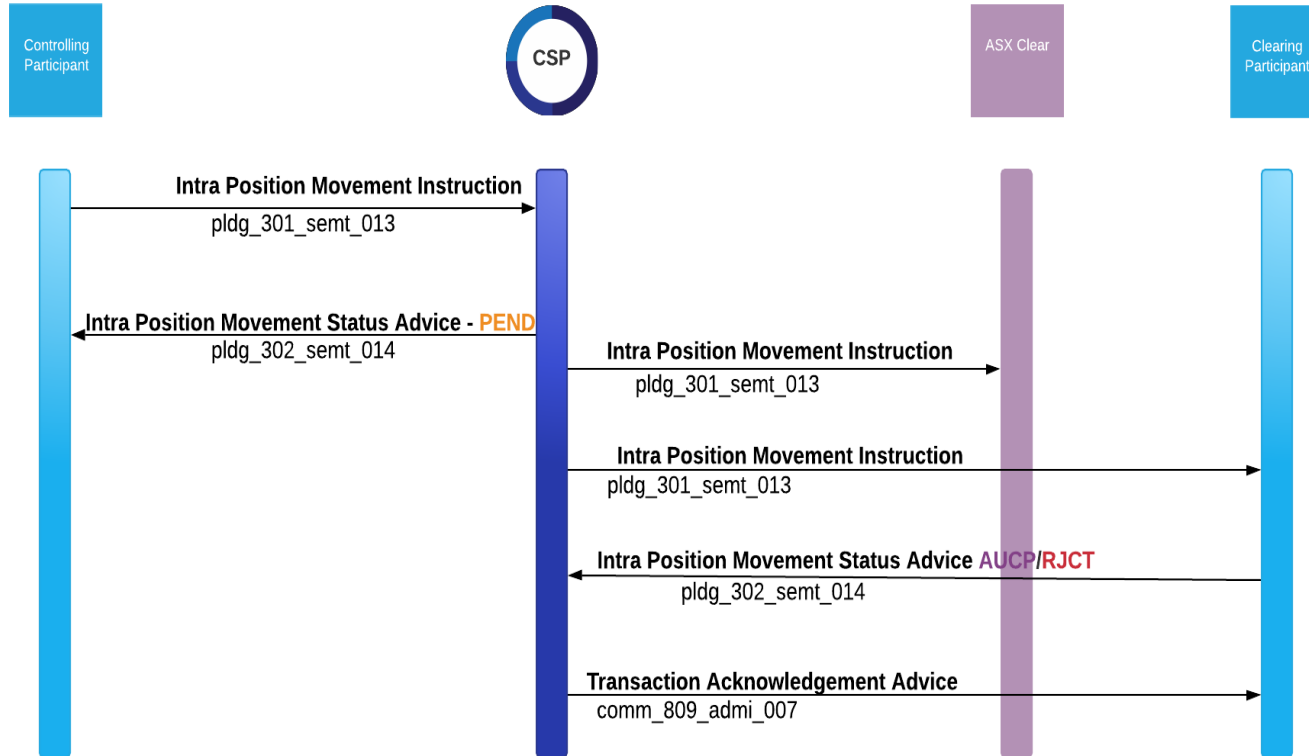
3c Collateral removal

Collateral Removal - CMM



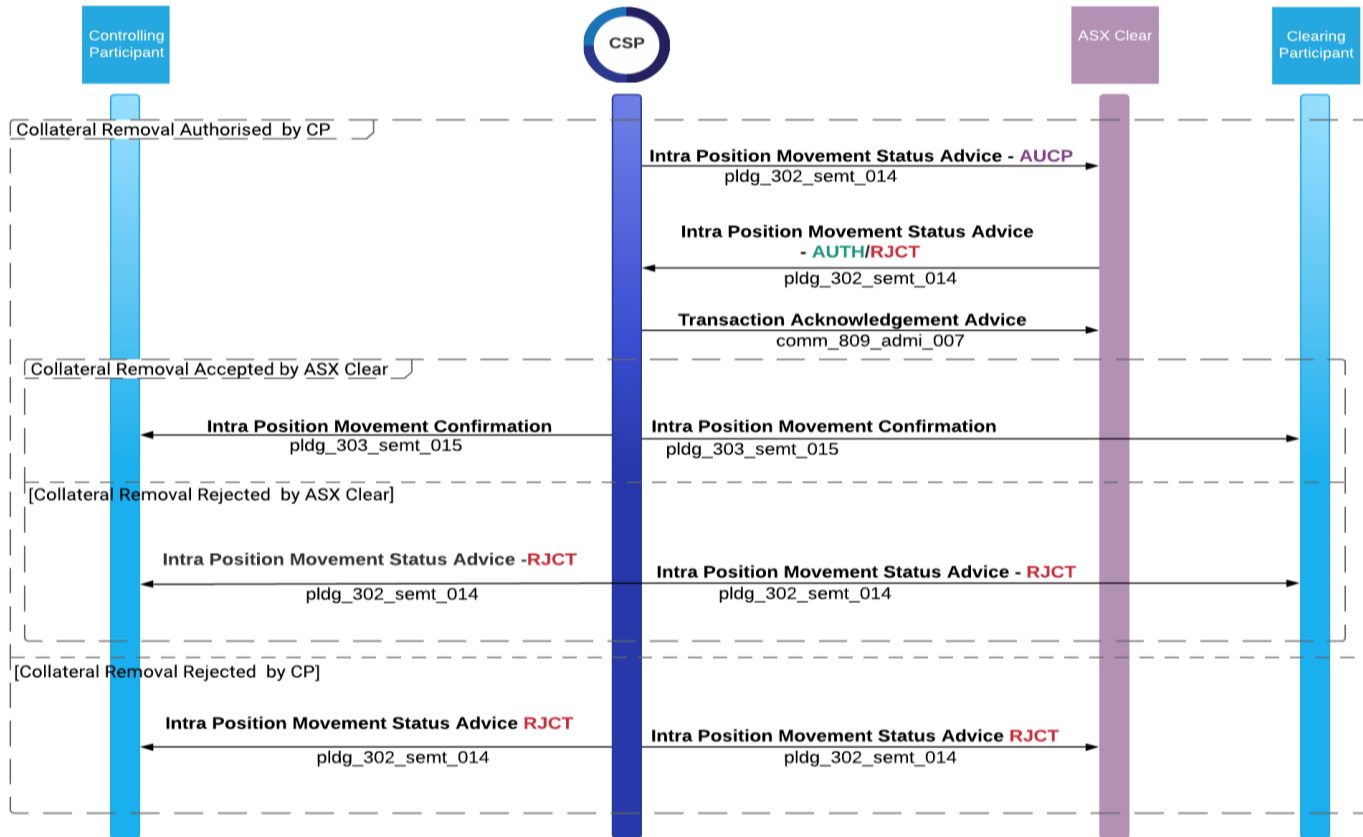
3c Collateral removal

Collateral Removal – ETO continued..



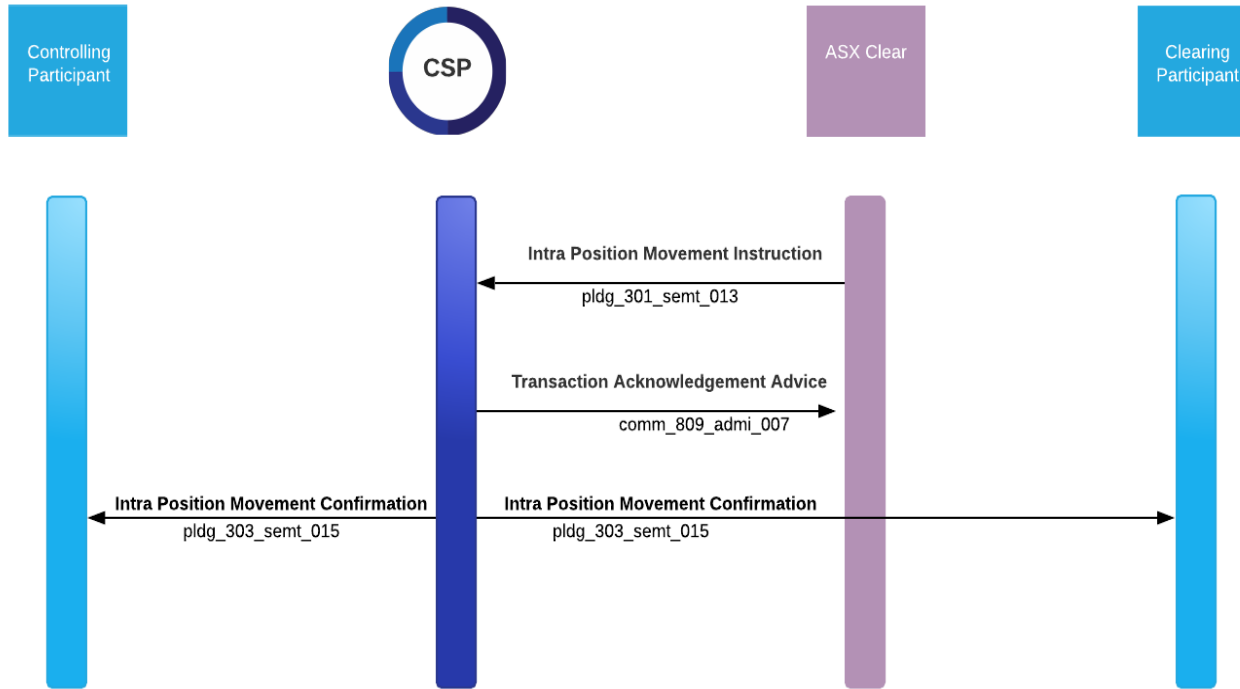
3c Collateral removal

Collateral Removal – ETO



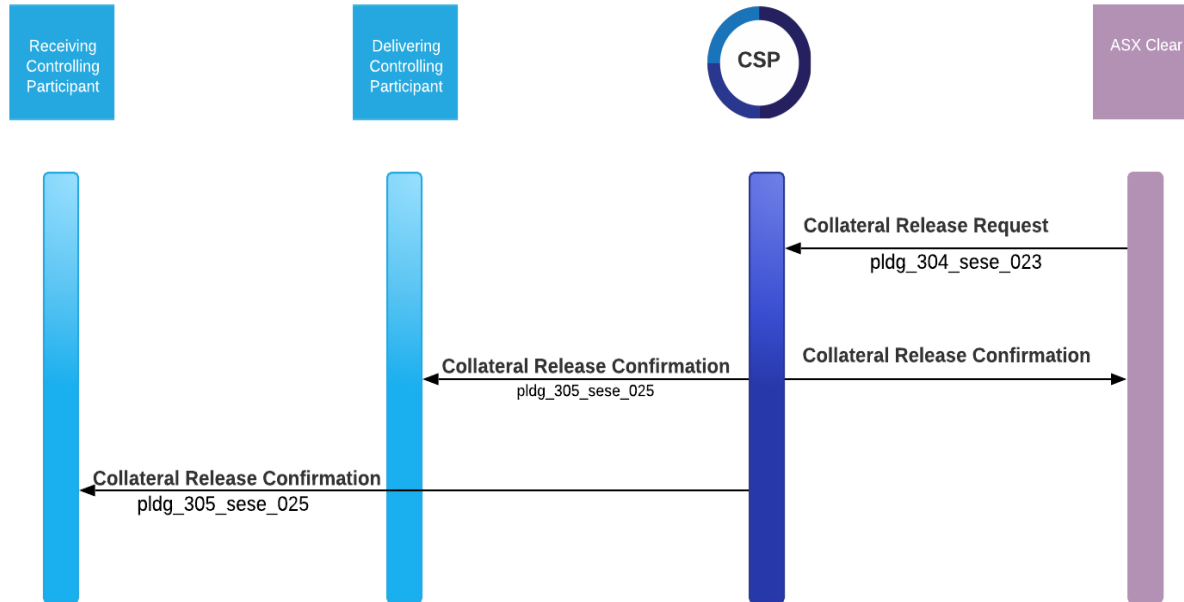
3c Collateral removal

ASX Clear initiated Collateral Removal



3c Collateral removal

Collateral Release and Transfer



3c Collateral removal

Pldg_301 (Intra Position Movement Instruction)

Lvl	Name	XML Tag	Mult	Type /	Restr
0	Intra Position Movement Instruction V04 (semt.013.001.04)	<IntraPosMvmntInstr>			
1	Transaction Identification	<TxId>	[1..1]	text{1,35}	
1	Account Owner	<AcctOwnr>	[0..1]	Choice	[1..1]
1	Safekeeping Account	<SfkpgAcct>	[1..1]		
2	Identification	<Id>	[1..1]	text{1,35}	T/C
1	Financial Instrument Identification	<FinInstrmId>	[1..1]		
2	ISIN	<ISIN>	[0..1]	text	
2	Other Identification	<OthrId>	[0..*]		[0..1]
1	Financial Instrument Attributes	<FinInstrmAttrbts>	[0..1]		
2	Financial Instrument Attribute Additional	<FinInstrmAttrAddtID>	[0..1]	text{1,350}	[1..1]
1	Intra Position Details	<IntraPosDtls>	[1..1]		
2	Settlement Quantity	<SttlmQty>	[1..1]	Choice	
3	Unit	<Unit>	[1..1]	decimal	
2	Securities Sub Balance Identification	<SctiesSubBalId>	[0..1]		[1..1]
3	Identification	<Id>	[1..1]	text{1,35}	T/C
2	Balance From	<BalFr>	[1..1]		
3	Type	<Tp>	[1..1]	Choice	
4	Code	<Cd>	[1..1]	text	
5	Blocked			BLOK	
5	Available			AVAI	
3	Quantity Breakdown	<QtyBrkdown>	[0..*]		[0..1]
4	Lot Number	<LotNb>	[0..1]		[1..1]
5	Identification	<Id>	[1..1]	text{1,35}	T/C

Intra Position Movement Instruction:

pldg_301_semt_013 (Collateral Creation –ETO,CMM)

Account Owner (1..1): Controlling Participant (BIC/UIC)

NEW Securities Sub Bal Identification (1..1) :
Subposition Type

NEW Balance From (1..1): Balance from which the securities are moving.

Lodgement Number (0..1): Lodgement Number to ASX Clear to correctly record the collateral into an account of the clearing participant.

3c Collateral removal

Pldg_301 (Intra Position Movement Instruction)

2	Balance To	<BalTo>	[1..1]		
3	Type	<Tp>	[1..1]	Choice	
4	Code	<Cd>	[1..1]	text	
5	Blocked			BLOK	
5	Available			AVAI	
2	Instruction Processing Additional Details	<InstrPrpgAddtlDtls>	[0..1]	text{1,350}	T/C
1	Supplementary Data	<SplmtryData>	[0..*]		[0..1]
2	Place And Name	<PlcAndNm>	[0..1]	text{1,350}	
2	Envelope	<Envlp>	[1..1]		T/C
1	Additional Details	<AddtlDtls>	[1..1]		A
2	Account Identifier	<AcctId>	[0..1]		(A)
3	Identification	<Id>	[1..1]	Choice	(A)
2	Member Identifier	<MmblId>	[0..1]	Choice	(A)
3	Proprietary Identification	<PrtryId>	[1..1]		(A)
2	Participant Reference	<PtcptRef>	[0..1]	text{1,35}	(A)
2	Reason	<Rsn>	[0..1]	text{4}	(A)

Intra Position Movement Instruction:
pldg_301_semt_013

NEW Balance To (1..1): Balance to which the securities are moving.

Clearing Account (0..1): Account of the clearing member.

Clearing Member (0..1): Identifier of the clearing member.

3c Collateral removal

Pldg_302 (Intra Position Movement Status Advice)

Lvl	Name	XML Tag	Mult	Type /	Rest
0	Intra Position Movement Status Advice V06	<IntraPosMvmntStsAdv>			
1	Transaction Identification	<TxId>	[1..1]		
2	Account Owner Transaction Identification	<AcctOwnrTxId>	[1..1]	text{1,35}	
1	Processing Status	<PrpgSts>	[0..1]	Choice	[1..1]
2	Rejected	<Rjctd>	[1..1]	Choice	
3	Reason	<Rsn>	[1..*]		[1..1]
4	Code	<Cd>	[0..*]	Choice	[1..1]
5	Proprietary	<Prtry>	[1..1]		
6	Identification	<Id>	[1..1]	text	T/C
2	Acknowledged Accepted	<AckdAcptd>	[1..1]	Choice	
3	Reason	<Rsn>	[1..*]		[1..1]
4	Code	<Cd>	[1..1]	Choice	
5	Proprietary	<Prtry>	[1..1]		
6	Identification	<Id>	[1..1]	text	T/C
7	Pending Authorisation			PEND	
7	Authorised			AUTH	
7	Authorised by Clearing Participant			AUCP	

Intra Position Movement Status Advice:
pldg_302_semt_014

Status (1..1): Rejected >> Reason (1..1)

ASX proprietary code list:

CollateralRejectionRemovalReason_ASX_1

Status (1..1): Acknowledge Accepted >> Proprietary Code

- PEND - Request pending Authorisation
- AUTH - Request Authorised by ASX Clear
- AUCP - Request Authorised by Clearing Participant

3c Collateral removal

Pldg_303 (Intra Position Movement Confirmation)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Intra Position Movement Confirmation V07	<IntraPosMvmntConf>			
1	Additional Parameters	<AddtlParams>	[0..1]		[1..1]
2	Account Owner Transaction	<AcctOwntxId>	[0..1]	text{1,35}	[1..1]
1	Account Owner	<AcctOwntx>	[0..1]	Choice	[1..1]
1	Safekeeping Account	<SfkpgAcct>	[1..1]		
2	Identification	<Id>	[1..1]	text{1,35}	T/C
1	Financial Instrument Identification	<FinInstrmId>	[1..1]		
1	Financial Instrument Attributes	<FinInstrmAttrbts>	[0..1]		
2	Financial Instrument Attribute Additional	<FinInstrmAttrAddtlDt>	[0..1]	text{1,350}	[1..1]
1	Intra Position Details	<IntraPosDtls>	[1..1]		
2	Settled Quantity	<SttldQty>	[1..1]	Choice	
3	Unit	<Unit>	[1..1]	decimal	
2	Securities Sub Balance Identification	<SctiesSubBalId>	[0..1]		[1..1]
3	Identification	<Id>	[1..1]	text{1,35}	T/C
2	Settlement Date	<SttldDt>	[1..1]	Choice	
3	Date	<Dt>	[1..1]	date	
2	Balance From	<BalFr>	[1..1]		
3	Type	<Tp>	[1..1]	Choice	
4	Code	<Cd>	[1..1]	text	
5	Blocked			BLOK	
5	Available			AVAI	
3	Quantity Breakdown	<QtyBrkdwn>	[0..*]		[0..1]
4	Lot Number	<LotNb>	[0..1]		[1..1]

Intra Position Movement Confirmation:

pldg_303_semt_015

Account Owner (1..1): Controlling Participant (BIC/UIC)

NEW Securities Sub Bal Identification (1..1) :
Subposition Type

NEW Balance From (1..1): Balance from which the securities are moving.

Lodgement Number (0..1): Lodgement Number to ASX Clear to correctly record the collateral into an account of the clearing participant.

3c Collateral removal

Pldg_303 (Intra Position Movement Confirmation)

2	Balance To	<BalTo>	[1..1]		
3	Type	<Tp>	[1..1]	Choice	
4	Code	<Cd>	[1..1]	text	
5	Blocked			BLOK	
5	Available			AVAI	
2	Instruction Processing Additional Details	<InstrPrcgAddtlDtls>	[0..1]	text{1,350}	T/C
1	Supplementary Data	<SplmtryData>	[0..*]		[0..1]
2	Place And Name	<PlcAndNm>	[0..1]	text{1,350}	
2	Envelope	<Envp>	[1..1]		T/C
1	Additional Details	<AddtlDtls>	[1..1]		A
2	Account Identifier	<AcctId>	[0..1]		(A)
3	Identification	<Id>	[1..1]	Choice	(A)
4	Other	<Othr>	[1..1]		(A)
5	Identification	<Id>	[1..1]	text{1,34}	(A) T/C
2	Member Identifier	<MmblId>	[0..1]	Choice	(A)
3	Proprietary Identification	<PrtryId>	[1..1]		(A)
4	Identification	<Id>	[1..1]	text{1,35}	(A) T/C
4	Issuer	<Issr>	[0..1]	text{1,35}	(A) FV
5	XASX			XASX	(A)
2	Participant Reference	<PtcptRef>	[0..1]	text{1,35}	(A)
2	Reason	<Rsn>	[0..1]	text{4}	(A)
2	Sub Position Balance	<SubPosBal>	[0..1]	decimal	(A)

Intra Position Movement Confirmation:
pldg_303_semt_015

NEW Balance To (1..1): Balance to which the securities are moving.

Reason (0..1)

Total Cover (0..1): Total number of units of a security that are pledged as cover on a specific holding.

3c Collateral removal

Pldg_305 (Collateral Release Confirmation)

Lvl	Name	XML Tag	Mult	Type / Cod	Restr
0	Securities Settlement Transaction Confirmation V07	<SciesSttlmTxConf>			
1	Transaction Identification Details	<TxIdDtls>	[1..1]		
2	Account Owner Transaction Identification	<AcctOwnrTxId>	[1..1]	text{1,35}	
2	Securities Movement Type	<SciesMvmntTp>	[1..1]	text	
3	Delivery			DELI	
2	Payment	<Pmt>	[1..1]	text	
3	Separate Settlement			FREE	
1	Trade Details	<TradDtls>	[1..1]		
2	Trade Identification	<TradId>	[0..*]	text{1,35}	[0..1]
2	Effective Settlement Date	<FctvSttlmDt>	[1..1]	Choice	
3	Date	<Dt>	[1..1]	Choice	
4	Date	<Dt>	[1..1]	date	
2	Trade Transaction Condition	<TradTxCond>	[0..*]	Choice	[0..3]
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text	T/C
2	Settlement Instruction Processing Additional Details	<SttlmInstrPrcgAddtlDtls>	[0..1]	text{1,350}	T/C
1	Financial Instrument Identification	<FinInstrmId>	[1..1]		
1	Quantity And Account Details	<QtyAndAcctDtls>	[1..1]		
2	Settled Quantity	<StldQty>	[1..1]	Choice	
2	Safekeeping Account	<SfkggAcct>	[1..1]		
1	Settlement Parameters	<SttlmParams>	[1..1]		
2	Securities Transaction Type	<SciesTxTp>	[1..1]	Choice	
3	Proprietary	<Prtry>	[1..1]		
2	Securities Sub Balance Type	<SciesSubBalTp>	[0..1]		[1..1]

Collateral Release Confirmation: pldg_305_sese_025

Transaction Id (1..1)

Lodgement Number (0..1): Lodgement Number for ASX
Clear to correctly record the collateral into an account of the clearing participant.

Unit Quantity (1..1)

Delivering Account Identifier (1..1)

NEW Securities Sub Bal Identification (1..1) :  ASX
Subposition Type

3c Collateral removal

Pldg_305 (Collateral Release Confirmation)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Securities Settlement Transaction Confirmation V07	<SciesSttlmTxConf>			
1	Delivering Settlement Parties	<DlvrSttlmPties>	[0..1]		[1..1]
2	Party 1	<Pty1>	[0..1]		[1..1]
3	Identification	<Id>	[1..1]	Choice	
2	Party 2	<Pty2>	[0..1]		
3	Identification	<Id>	[1..1]	Choice	
4	Proprietary Identification	<PrtryId>	[1..1]		
5	Identification	<Id>	[1..1]	text{1,35}	T/C
3	Safekeeping Account	<SfkgAcct>	[0..1]		[1..1]
4	Identification	<Id>	[1..1]	text{1,35}	T/C
1	Receiving Settlement Parties	<RcvSttlmPties>	[0..1]		[1..1]
2	Party 1	<Pty1>	[0..1]		[1..1]
3	Identification	<Id>	[1..1]	Choice	
3	Safekeeping Account	<SfkgAcct>	[0..1]		[1..1]
4	Identification	<Id>	[1..1]	text{1,35}	T/C
1	Supplementary Data	<SplmtryData>	[0..*]		[1..1]
1	Additional Details	<AddtlDtls>	[1..1]		A
2	Sub Position Balance	<SubPosBal>	[0..1]	decimal	(A)
2	Receiving Holding Balance	<RcvgHldgBal>	[0..1]	decimal	(A)
2	Delivering Holding Balance	<DlvrHldgBal>	[0..1]	decimal	(A)

Collateral Release Confirmation: pldg_305_sese_025

Delivering Participant (1..1): Delivering HIN (BIC/UIC)

Clearing Member (0..1): Identifier of the clearing member.

Clearing Account (0..1): Account of the clearing member.

Receiving Participant (1..1): Receiving HIN (BIC/UIC)

Receiving Account Identifier (1..1)

Total Cover (1..1): Receiving HIN (BIC/UIC)

Receiving Holding Balance (0..1)
Delivering Holding Balance (0..1)

3d Transfer of Novated Equities Transactions (Give-Ups)

Overview

Overview

ASX is introducing new functionality to allow obligations under novated equity transactions to be transferred between clearing participants on the trade execution date (T) and prior to netting which generally occurs on the night of T.

The original clearing participant (the “giver”) submits a request to the new clearing participant (the “taker”), which the new clearing participant can accept or reject. If the give-up is not accepted the obligation remains with the original clearing participant.

The ability for novated equity transactions to be transferred between clearing participants on T is expected to assist in better managing market disruption.

3d Transfer of Novated Equities Transactions (Give-Ups)

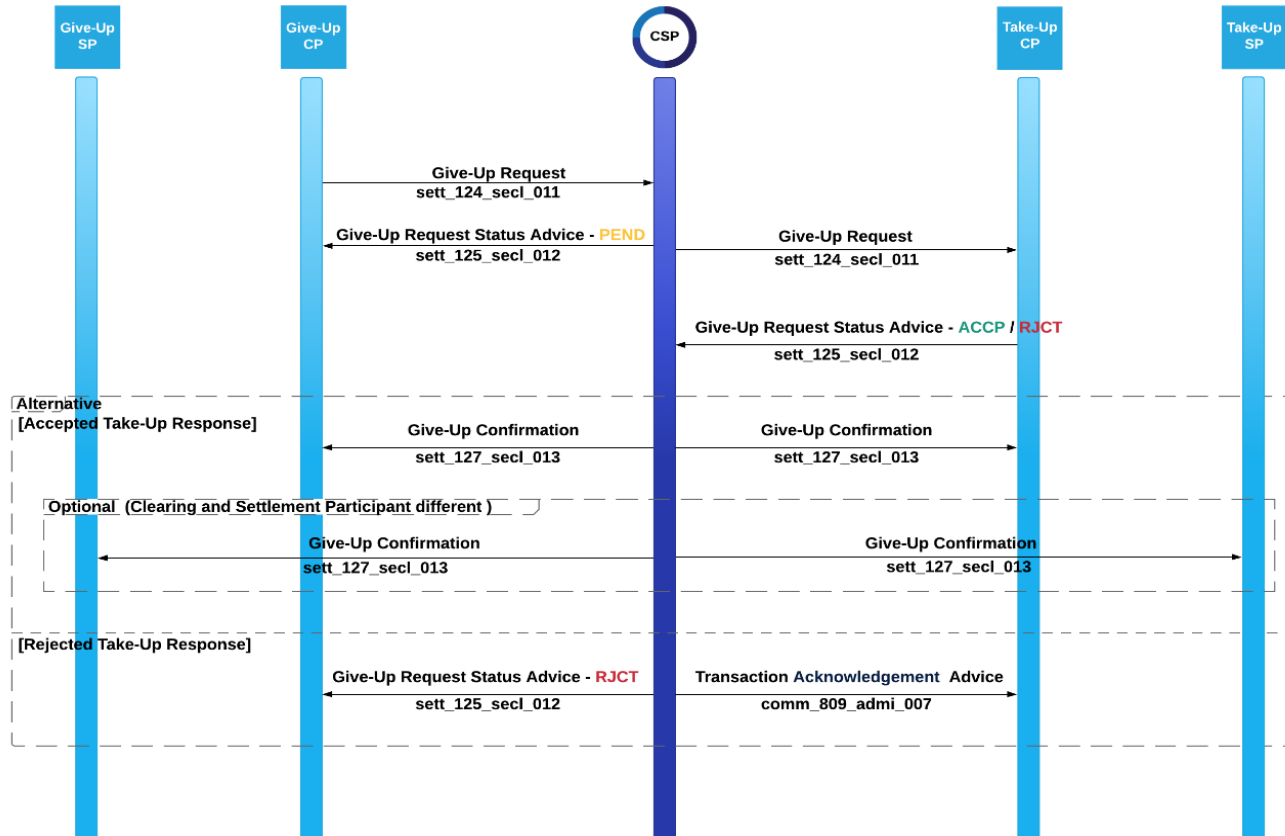
'To-be' message consolidation table

Message Type	EIS	Message Id	ISO 2022 base message	Message Name	From	To
Request	n/a	sett_124	DRAFT1 secl.011	Give-Up Request	Give-Up Clearing Participant, CSP	CSP, Take-Up Clearing Participant
Status Advice	n/a	sett_125	DRAFT1 secl.012	Give-Up Request Status Advice	Take-Up Clearing Participant, CSP	CSP, Give-Up Clearing Participant, Take-Up Clearing Participant
Cancellation	n/a	sett_126	DRAFT1 secl.014	Give-Up Cancellation Request	Give-Up Clearing Participant	CSP
Confirmation	n/a	sett_127	DRAFT1 secl.013	Give-Up Confirmation	CSP	Give-Up Clearing Participant, Take-Up Clearing Participant

* New ISO 2022 draft messages created by ASX

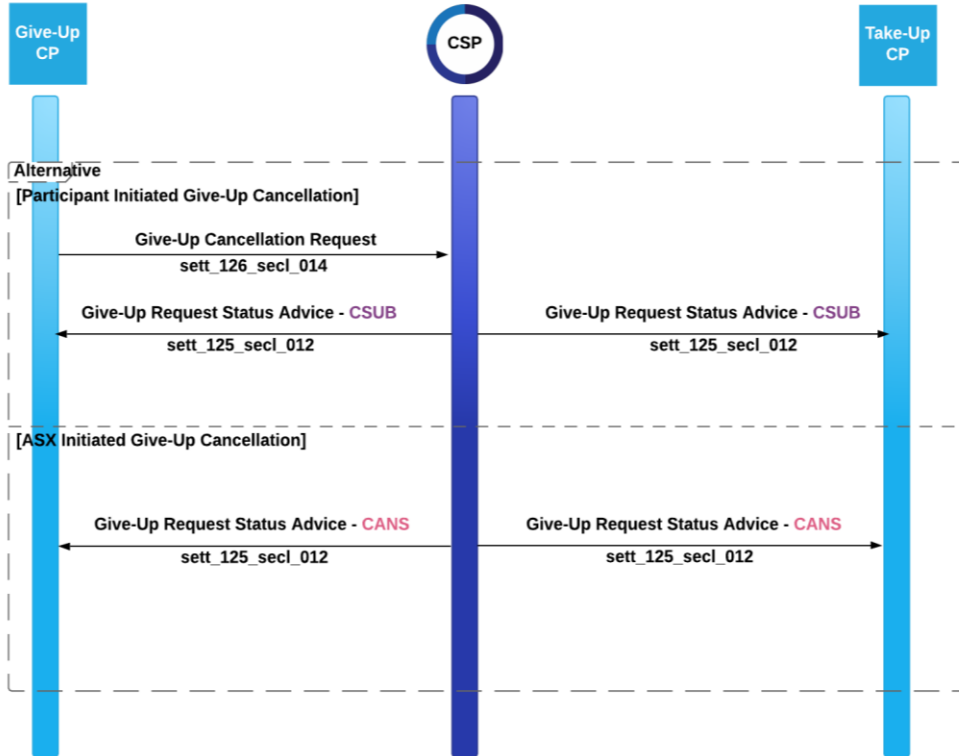
3d Transfer of Novated Equities Transactions (Give-Ups)

Give-up Request



3d Transfer of Novated Equities Transactions (Give-Ups)

Give-up Cancellation Request



Cancellation flow

- **Participant Initiated Cancellation:** only enable for pending transactions.

Status:

- **CSUB:** Cancelled by Agent
- **CANS:** Cancelled by System

3d Transfer of Novated Equities Transactions (Give-Ups)

sett_124 (Give-Up Request) and sett_127 (Give-Up Confirmation)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Trade Give Up Take Up Request V01 (DRAFT1secl.011.001.01)	<TradGvUpTakeUpReq>			
1	Trade References	<TradRefs>	[1..1]		
2	Transaction Identification	<TxId>	[1..1]	text{1,52}	T/C
2	Trade Execution Identification	<TradExctnId>	[0..1]	text{1,52}	T/C
2	Settlement Obligation Identification	<SttlmOblgtnId>	[0..1]	text{1,35}	
1	Give Up Clearing Member	<GvUpClrMmb>	[1..1]	Choice	
2	BIC	<BIC>	[1..1]	text [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{3,3}([A-Z0-9]{3,3}){0,1}	
2	Proprietary Identification	<PrtryId>	[1..1]		
3	Identification	<Id>	[1..1]	text{1,35}	T/C
3	Issuer	<Issr>	[1..1]	text{1,35}	T/C
4	XASX			XASX	
1	Take Up Clearing Member	<TakeUpClrMmb>	[1..1]	Choice	
2	BIC	<BIC>	[1..1]	text [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{3,3}([A-Z0-9]{3,3}){0,1}	
2	Proprietary Identification	<PrtryId>	[1..1]		
3	Identification	<Id>	[1..1]	text{1,35}	T/C
3	Issuer	<Issr>	[1..1]	text{1,35}	T/C
4	XASX			XASX	

sett_124 (Request) and sett_127 (Confirmation)

sett_124 and sett_127 reinstate the information of sett_101 (Trade Confirmation Notification)

Transaction Id (1..1): Uniquely identifies of the Transaction allocated by the Give-up Clearing Member.

Trade Execution Identification (0..1): Trade Execution Identification from sett.101

Obligation Identification (0..1): Transaction Id (Trade Leg Identification) from sett_101

Give-up Clearing Member(1..1): Identifier of the clearing member who is giving up its side of a Transaction.

Take-Up Clearing Member (1..1): Identifier of the clearing member who is taking up a Transaction.

3d Transfer of Novated Equities Transactions (Give-Ups)

sett_124 (Give-Up Request) and sett_127 (Give-Up Confirmation)

sett_124 (Request) and sett_127 (Confirmation)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Trade Give Up Take Up Request V01 (DRAFT1secl.011.001.01)	<TradGvUpTakeUpReq>			
1	Trade Data	<TradData>	[0..1]		
2	Trade Date	<TradDt>	[0..1]	date	[1..1]
2	Trade Execution Time	<TradExctnTm>	[0..1]	dateTime	[1..1]
2	Settlement Date	<SttlmDt>	[0..1]	Choice	
3	Date	<Dt>	[1..1]	date	
2	Financial Instrument Identification	<FinInstmid>	[0..1]		[1..1]
2	Trade Quantity	<TradQty>	[0..1]	Choice	[1..1]
3	Unit	<Unit>	[1..1]	decimal td = 18 fd = 17	
2	Deal Price	<DealPric>	[0..1]		[1..1]
3	Value	<Val>	[1..1]	Choice	
4	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 13	T/C
2	Place Of Trade	<PlcOfTrad>	[0..1]		[1..1]
3	Identification	<id>	[0..1]	Choice	[1..1]
4	Market Identifier Code	<MktIdrCd>	[1..1]	text [A-Z0-9]{4,4}	
3	Type	<Tp>	[1..1]	Choice	
4	Code	<Cd>	[1..1]	text	
5	Stock Exchange			EXCH	
2	Settlement Amount	<SttlmAmt>	[0..1]		[1..1]
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
4	Xml Attribute Currency	<Ccy>		text AUD	
3	Credit Debit Indicator	<CdtDbtInd>	[0..1]	text	[1..1]
4	Credit			CRDT	
4	Debit			DBIT	

Trade Date(1..1)

Trade Execution Time (1..1)

Settlement Date (0..1)

Financial Instrument Id (1..1): Security Code

Unit Quantity (1..1)

Price (1..1)

AMO Id (1..1): Place at which the security is traded

Type: EXCH- Exchange

Gross Trade Amount (1..1)

3d Transfer of Novated Equities Transactions (Give-Ups)

sett_124 (Give-Up Request) and sett_127 (Give-Up Confirmation)

sett_124 (Request) and sett_127 (Confirmation)

Trade Reason (1..1): ASX Proprietary Code List

TradeReasonCode_ASX_1

- XASX- ASX Market Trade
- CHIA- Chi-X Australia
- ICPT- Isolated Counterparty

As At Date (0..1): The "business date" upon which the Cash Market Transaction or Cash CCP Transaction was executed

Transaction Basis (0..1): ASX Proprietary Code List

TransactionBasisCode_ASX_1

Override Basis of Movement (0..3): ASX Proprietary

Code List
BasisOfMovement_ASX_1

Condition Code: ASX Proprietary Code List

ConditionCode_ASX_1



Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Trade Give Up Take Up Request V01 (DRAFT1secl.011.001.01)	<TradGvUpTakeUpReq>			
1	Trade Data	<TradData>	[0..1]		
2	Trade Reason	<TradRsn>	[0..1]		[1..1]
3	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
3	Issuer	<Issr>	[1..1]	text{1,35}	T/C
4	XASX			XASX	
2	Trade Transaction Date	<TradTxDt>	[0..1]	date	
2	Securities Transaction Type	<SctiesTxTp>	[0..1]	Choice	[1..1]
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
4	Issuer	<Issr>	[1..1]	text{1,35}	T/C
5	XASX			XASX	
2	Trade Transaction Condition	<TradTxCond>	[0..*]	Choice	[0..3]
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
4	Issuer	<Issr>	[1..1]	text{1,35}	T/C
5	XASX			XASX	
2	Settlement Transaction Condition	<SttlmTxCond>	[0..*]	Choice	[0..5]
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
4	Issuer	<Issr>	[1..1]	text{1,35}	T/C
5	XASX			XASX	
2	Novation Status	<NvtnSts>	[0..1]	text	[1..1] T/C
2	Order Identification	<Ordrlid>	[0..1]	text{1,35}	T/C

3d Transfer of Novated Equities Transactions (Give-Ups)

sett_124 (Give-Up Request) and sett_127 (Give-Up Confirmation)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Trade Give Up Take Up Request V01 (DRAFT1secl.011.001.01)	<TradGvUpTakeUpReq>			
1	Trade Data	<TradData>	[0..1]		
2	Novation Status	<NvtnSts>	[0..1]	text	[1..1] T/C
2	Order Identification	<Ordrid>	[0..1]	text(1,35)	T/C
2	Counterparty Clearing Member Identification	<CtrPtyClrMmbld>	[0..1]	Choice	[1..1]
3	BIC	<BIC>	[1..1]	text [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}	
3	Proprietary Identification	<PrtryId>	[1..1]		
4	Identification	<Id>	[1..1]	text(1,35)	T/C
4	Issuer	<Issr>	[1..1]	text(1,35)	T/C
5	XASX			XASX	
2	Counterparty Member Identification	<CtrPtyMmbld>	[0..1]	Choice	[1..1]
3	BIC	<BIC>	[1..1]	text [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}	
3	Proprietary Identification	<PrtryId>	[1..1]		
4	Identification	<Id>	[1..1]	text(1,35)	T/C
4	Issuer	<Issr>	[1..1]	text(1,35)	T/C
5	XASX			XASX	
2	Trading Party	<TradgPty>	[0..1]	Choice	[1..1]
3	BIC	<BIC>	[1..1]	text [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}	
3	Proprietary Identification	<PrtryId>	[1..1]		
4	Identification	<Id>	[1..1]	text(1,35)	T/C
4	Issuer	<Issr>	[1..1]	text(1,35)	T/C
5	XASX			XASX	

sett_124 (Request) and sett_127 (Confirmation)

Novation Status (1..1): Always True as only novated and non netted trades can be give-up.

Order Reference Number (0..1)

Counterparty Clearing Member (0..1): ASX Identification (novated)

Counterparty Member Identification(0..1): ASX Identification (novated)

Counterparty Trading Identification : ASX Trading Identifier (7777)

3d Transfer of Novated Equities Transactions (Give-Ups)

sett_125 (Give-Up Request Status Advice)

Lvl	Name	XML Tag	Mult	Type / Code
0	Trade Give Up Take Up Status Advice V01 (DRAFT1secl.012.001.01)	<TradGvUpTakeUpStsAdv vc>		
1	Trade References	<TradRefs>	[1..1]	
2	Transaction Identification	<Trxid>	[1..1]	text{1,52}
1	Processing Status	<PrcgSts>	[1..1]	Choice
2	Acknowledged Accepted	<AckdAcceptd>	[1..1]	Choice
3	No Specified Reason	<NoSpcfdRsn>	[1..1]	text
4	No Reason			NORE
2	Pending Processing	<PdgPrcg>	[1..1]	Choice
3	No Specified Reason	<NoSpcfdRsn>	[1..1]	text
4	No Reason			NORE
2	Rejected	<Rjctd>	[1..1]	Choice
3	No Specified Reason	<NoSpcfdRsn>	[1..1]	text
4	No Reason			NORE
2	Cancelled	<Canc>	[1..1]	Choice
3	Reason	<Rsn>	[1..*]	
4	Code	<Cd>	[1..1]	Choice
5	Code	<Cd>	[1..1]	text{1,4}
6	Cancelled By Agent			CSUB
6	Cancelled By System			CANS

Give-Up Request Status Advice:

sett_125_001_01_DRAFT1secl_012

Transaction Id (1..1): Transaction Id allocated by the Give-up Participant in the Give-up Request (sett_125) or Give-up Cancellation Request (sett_126)

Status: Accepted
Reason: NORE- No Reason

Status: Pending Processing
Reason: NORE- No Reason

Status: Rejected
Reason: NORE- No Reason

Status: Cancelled
Reason

- CSUB: Cancelled by Agent
- CANS: Cancelled by System

3d Transfer of Novated Equities Transactions (Give-Ups)

sett_126 (Give-Up Cancellation Request)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Trade Give Up Take Up Cancellation Request V01 (DRAFT1secl.014.001.01)	<TradGvUpTakeUpCxlRe q>			
1	Trade References	<TradRefs>	[1..1]		
2	Transaction Identification	<TxId>	[1..1]	text{1,52}	T/C
2	Related Transaction Identification	<RltdTxId>	[1..1]	text{1,52}	T/C

Give-Up Cancellation Request:

sett_126_001_01_DRAFT1secl.014

Transaction Id (1..1): Uniquely identifies of the Cancellation allocated by the Give-up Clearing Member.

Target Transaction Id(1..1)

3e 'To-be' messages for review

Collateral removal, Transfer of Novated Equities Transactions (Give-Ups)

To-be Messages	Collections
sett_124	draft_sett
sett_125	draft_sett
sett_126	draft_sett
sett_127	draft_sett
comm_809	draft_comm
pldg_301	draft_pldg
pldg_302	draft_pldg
pldg_303	draft_pldg
pldg_305	draft_pldg
sett_136	draft_sett

MyStandards 'to-be' documentation

Community: ASX ISO 2022 Technical Committee

Collection: ASX_AU_CHS_draft_sett
ASX_AU_CHS_draft_comm
ASX_AU_CHS_draft_pldg

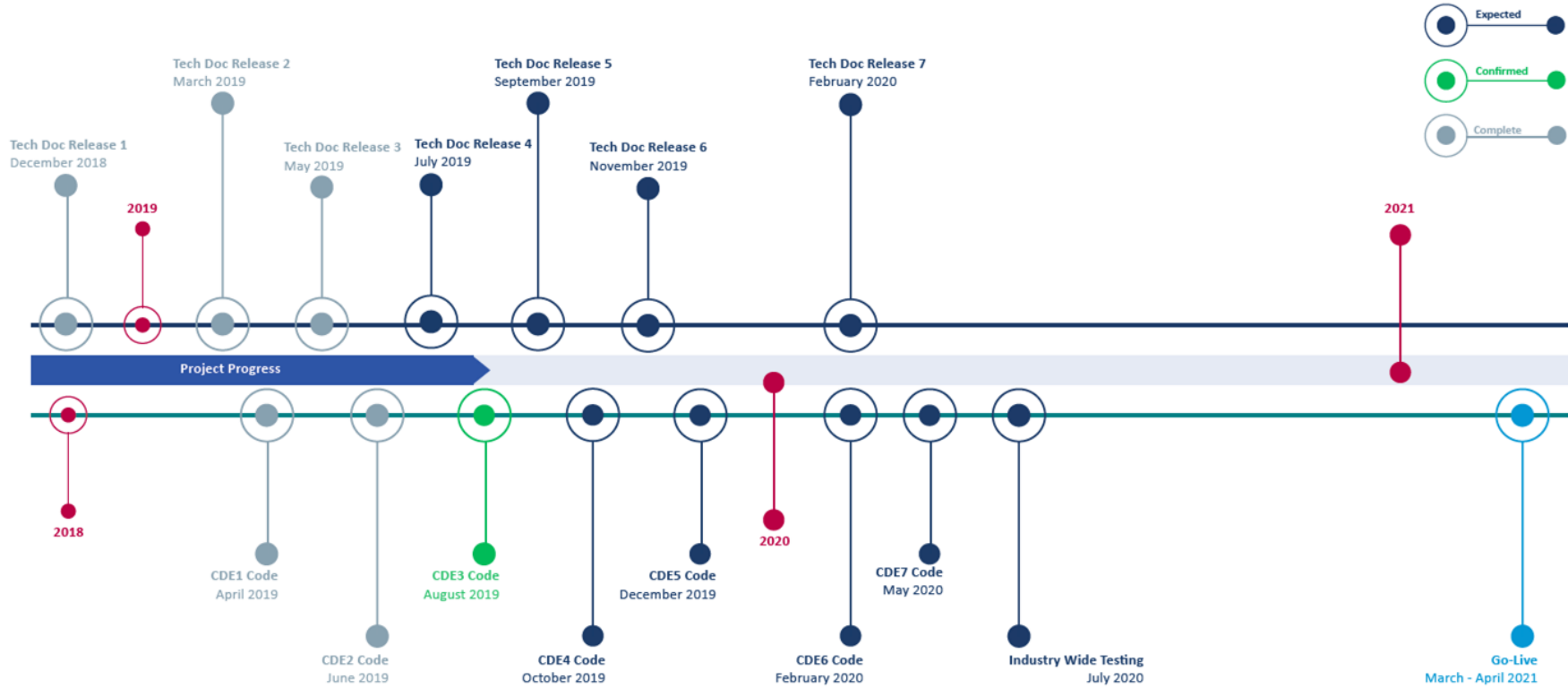
Further details (attached to Message Definitions in MyStandards)

- 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)

Feedback Request: ASX requests TC member feedback via comments in MyStandards by **Friday 14 September 2019** ready for ASX review

4. Standing agenda items

4a CHES Replacement Project update



4b ISO 2022 project update by ASX

To-be' mapping:

- > Topics in progress:
 - Settlement
 - Transfer of Novated Equity Transactions between Clearing Participants (Give-Ups)
 - Holding Adjustment
 - Corporate Actions
 - mFund
 - Reports
 - Collateral
 - Takeover & Buyback

- > Global ISO 2022 engagement
 - ISO 2022 Securities Standards Evaluation Group (SEG)
 - T2S Evaluation Team (sub group of SEG)
 - BAH change request
 - Business Justification for new messages

4b ISO 20022 Stream – Message Status

@end August 2019

	EIS "as-is"	Technical Documentation (releases 1,2,3 and 4)		Additional drafts shared with Technical Committee		Tech Docs + TC	
Business Area	EIS "as-is" mapping	ASX to-be	EIS	ASX to-be2	EIS	ASX to-be	EIS
Account management (acct)	53	6	10			6	10
Operations Admin (adm)	11	1	1			1	1
Common (comm)	2	3	2	1	1	4	3
RTGS (gset)	60					0	0
Holding movement (hold)	37	20	65	4	10	24	75
mFund Service (mfnd)	85					0	0
Pledge and Lodge Management (pldg)	85			5	39	5	39
Reporting (rptg)	36					0	0
Settlement (sett)	51	29	36			29	36
Corporate Actions (evnt)				4	14	4	14
Total	420	59	114	14	64	73	178
							42.38%

More details:

EIS to ISO 20022 Cross Reference Guide: <https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/pages/23233827/ISO+20022+Messaging+-+TM+-+EIS+to+ISO+20022+Cross+Reference+Guide>

Business Message Parameters: <https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/pages/56819816/ISO+20022+Messaging+-+TM+-+Business+Message+Parameters>

4c Update from Business Committee

5. Closing

5. Closing and next meeting

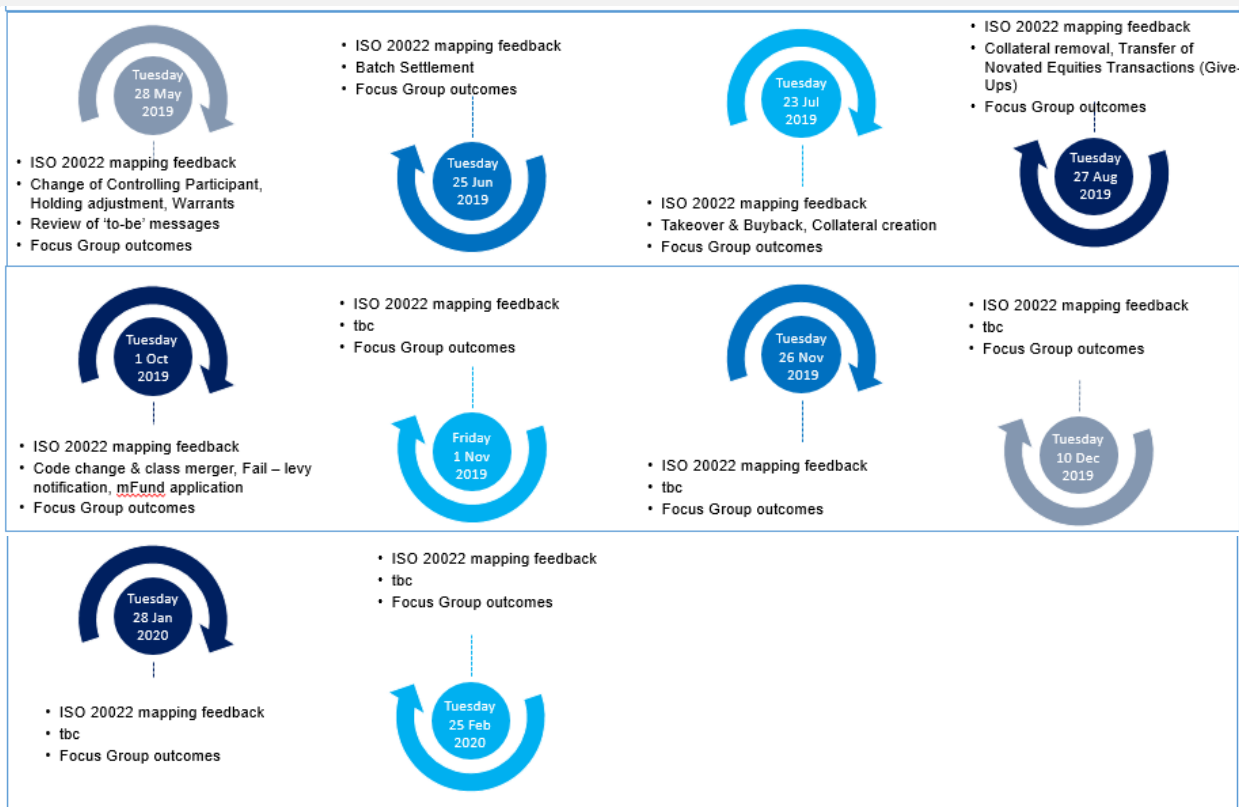
- > Noted actions from this meeting
- > Draft minutes from this meeting will be distributed for review
- > Next meeting to be held Tuesday 1 October 2019 – Sydney, webinar; proposed topics:
 - Code change & class merger
 - Fail – levy notification
 - mFund application
- > Forward meeting plan – see next page
- > Note – change of meeting date from Tuesday 29 October to Friday 1 November (2pm start);
Additional meetings - 10 December, 28 January, 25 February

More information on CHES Replacement & Technical Committee documents:

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

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

5. Closing and forward meeting plan



Thank you.