

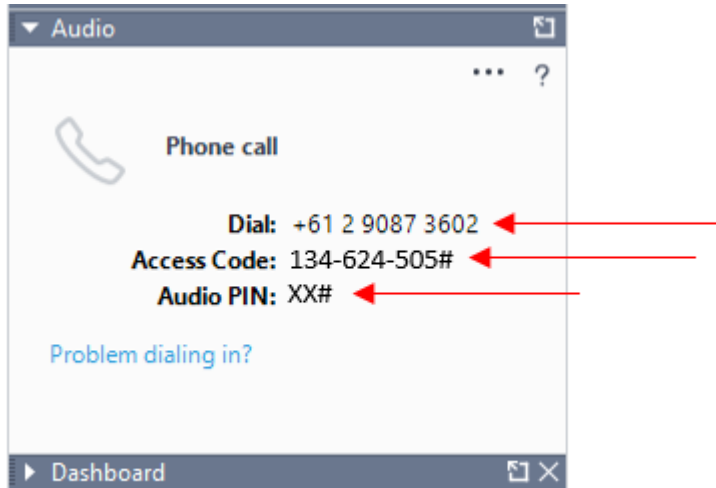


ISO 20022 Technical Committee Meeting

1 November 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– investor details, Corporate actions

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

- 3c Dividend / Distribution Election

- 3d Distribution Advice Notification

- 3e Levy Notification

- 3f Payment Facilities

- 3g '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 1 October 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 <ol style="list-style-type: none">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	1 Nov 2019	
94	27 Aug 2019	ASX to liaise with ATO to confirm whether ASX s field size for unit quantity will be acceptable for industry participant reporting. Members to advise ASX of any further external regulatory reporting requirements for consideration, specific to each asset class.	ASX / Members	1 Nov 2019	

2. Minutes and actions

Minutes for 1 October 2019 meeting available on [CHES Replacement web page](#). Open action items:

#	Meeting Date	Open Action Items	Owner	Due Date	Status
95	1 Oct 2019	ASX to include discussion on corporate action event ID and option codes that would be released as part of CDE4 in the Corporate Actions Focus Group in late October/early November.	ASX	1 Nov 2019	
96	1 Oct 2019	ASX to advise members of the timeframe for discussion of reporting related messages and functionality and the forums in which that discussion would take place.	ASX	1 Nov 2019	

3. Matters for consideration

3a Focus Group update

Investor details

- > Focus group on topic of Investor Data held 15 October 2019
- > A number of matters relating to Investor Data workflows were discussed, including:
 - Account & Holder Details: Recap on changes and structures discussed in March 2019 Focus Group
 - Communication Preferences: Capture of email and mobile for purpose of facilitating electronic communication preferences
 - Additional Holder Details: Holder DOB and address for initial mFund applications – optionally store for purpose of reutilization in subsequent transactions
 - Tax and Investor type details: Per security, optionally stored for re-use
 - FATCA & CRS Details: Mandatory for initial mFund application - store for purpose of reutilization in subsequent transactions
 - Advisor Details (mFund only): Optionally provided on mFund application
 - DRP and bank Account details: Provided per holding (mandatory for mFunds), AUD and foreign currency enabled
- > All aspects of these solution proposals subject to industry feedback, due 31 October 2019

3a Focus Group update

Corporate actions

- > 4th and final planned session in the corporate actions series held 31 October 2019
- > Presentation of finalised solution proposals on aspects of previously discussed corporate actions topics:
 - Electronic DRP & BSP Elections
 - Bank Account Notifications
 - Electronic Acceptance and Payment for Entitlement Offers
- > Update on RTGS payments

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

Messages shared during Technical Committee 1 October 2019:

- No feedback received from participants.

3c Dividend / Distribution Election

Overview

Dividend / Distribution Elections will allow Investors to notify the Issuer of a DRP or BSP Preference via CHES Replacement across all asset classes. This functionality has been subject of consultation via the CHES Replacement Focus Groups relating to Corporate Actions.

What's Changing?

- Currently this functionality is only available for mFunds. It will be available for relevant Issuers across all asset classes.
- Elections can be cancelled by the Participant. This will result in an investor receiving the default dividend/distribution consideration.
- Elections can be cancelled by the Issuer for reasons of:
 - Investor election, plan suspension, plan ineligibility and zero holding.
- Elections can be sent from the Issuer to the Participant to notify of any elections made directly to the Issuer.
- Elections for cash are supported where the plan default is DRP or BSP.
- Partial DRP and BSP elections can be supported concurrently.
- Bank Account details will not be part of the election message and will be provided as a separate message.
- PDS provided and PSD Issue Date are no longer required for an mFunds distribution election.
- RPP elections for mFunds are no longer supported in this message.

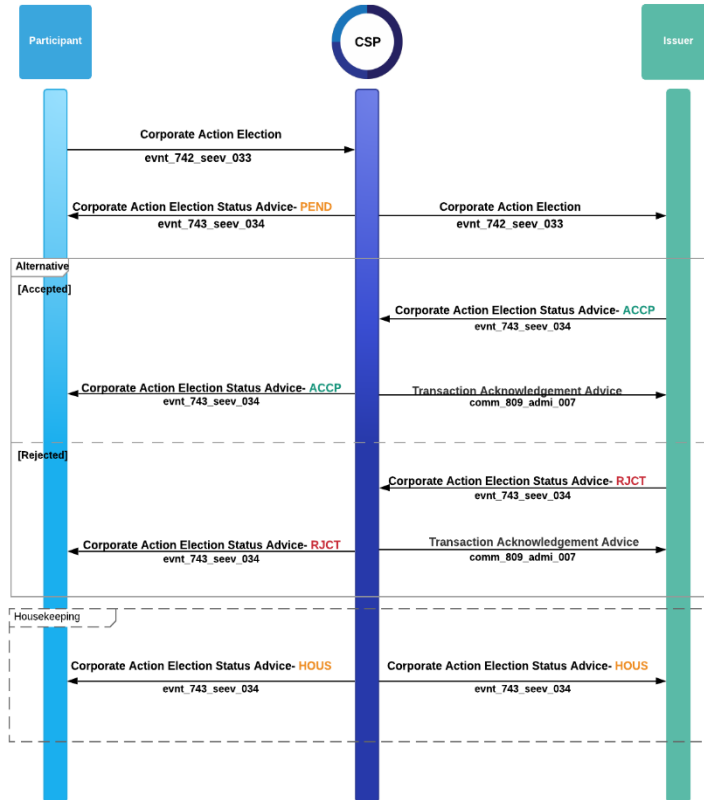
3c Dividend / Distribution Election

'To-be' message consolidation table

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Request	EIS 863 - Distribution Election Request EIS 864 - Distribution Election Authorisation Request	evnt_742	seev_033	Corporate Action Election	Participant; Issuer; CSP	CSP; Participant; Issuer
Status Advice	EIS 865 - Distribution Election Registry Authorisation EIS 866 - Accepted Distribution Election Request EIS 867 - Distribution Election Registry	evnt_743	seev_034	Corporate Action Election Status Advice	CSP; Issuer; Participant	Participant; CSP; Issuer
Cancellation Request	n.a.	evnt_745	seev_040	Corporate Action Election Cancellation	Participant; Issuer; CSP	CSP; Participant; Issuer
Cancellation response	n.a.	evnt_746	seev_041	Corporate Action Election Cancellation Status Advice	CSP	Participant; CSP; Issuer
Acknowledgement	n.a.	comm_809	admi_007	Transaction Acknowledgement Advice	CSP	User

3c Dividend / Distribution Election

Dividends elections- Participant initiated

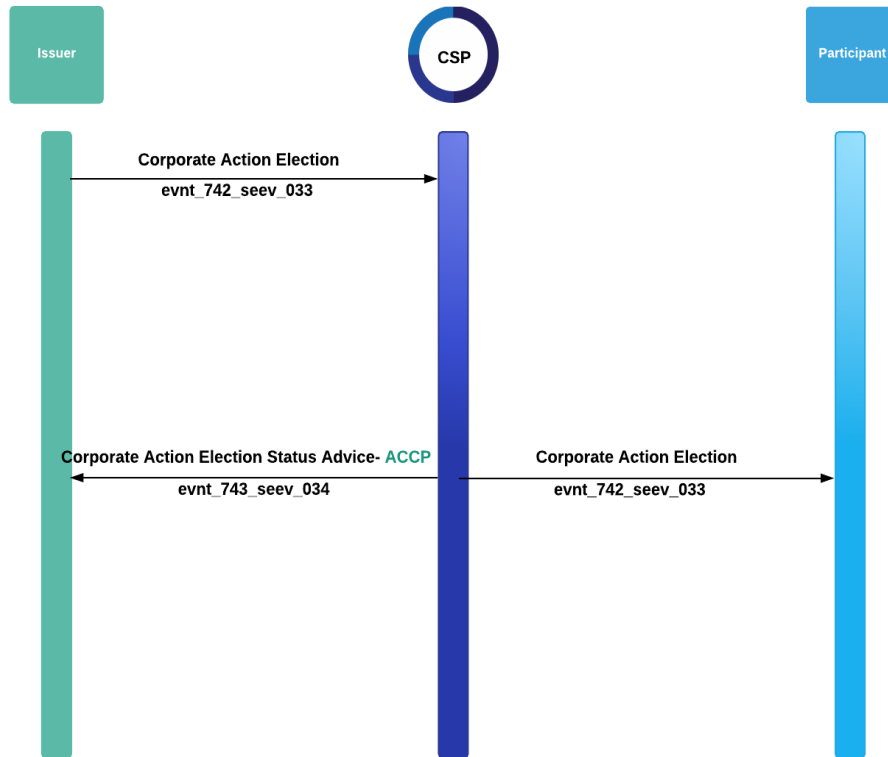


Status:

- **PEND**: Pending Authorisation
 - **ACCP**: Accepted
 - **RJCT**: <Rejected>
- Reason: NORE (No Reason)
- **HOUS**: Housekeeping

3c Dividend / Distribution Election

Dividends elections- Issuer initiated

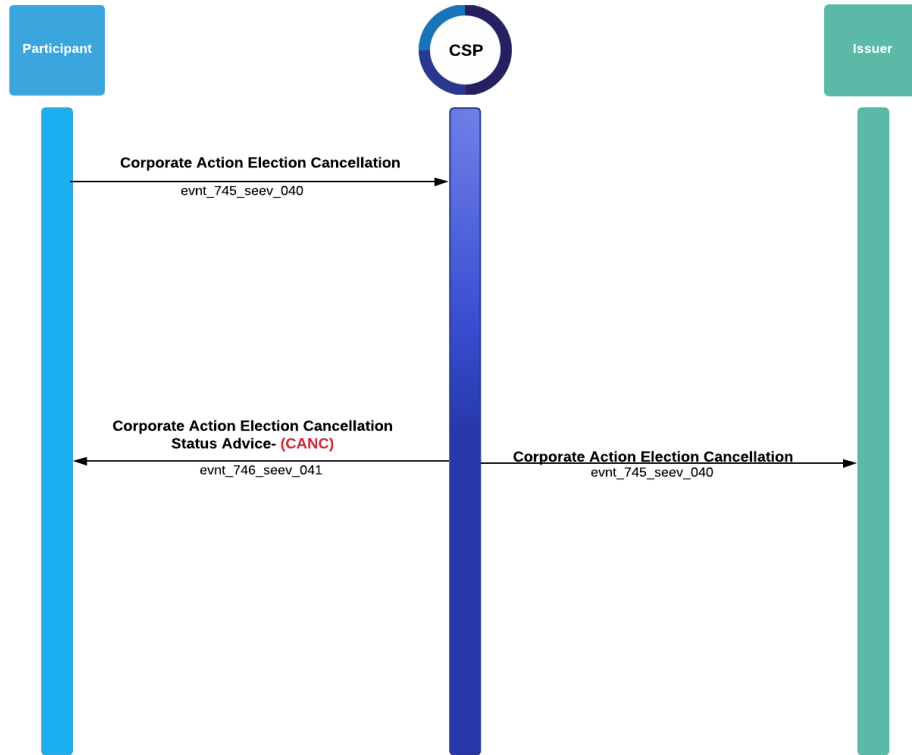


Status:

- ACCP: Accepted

3c Dividend / Distribution Election

Cancel dividends elections- Participant initiated

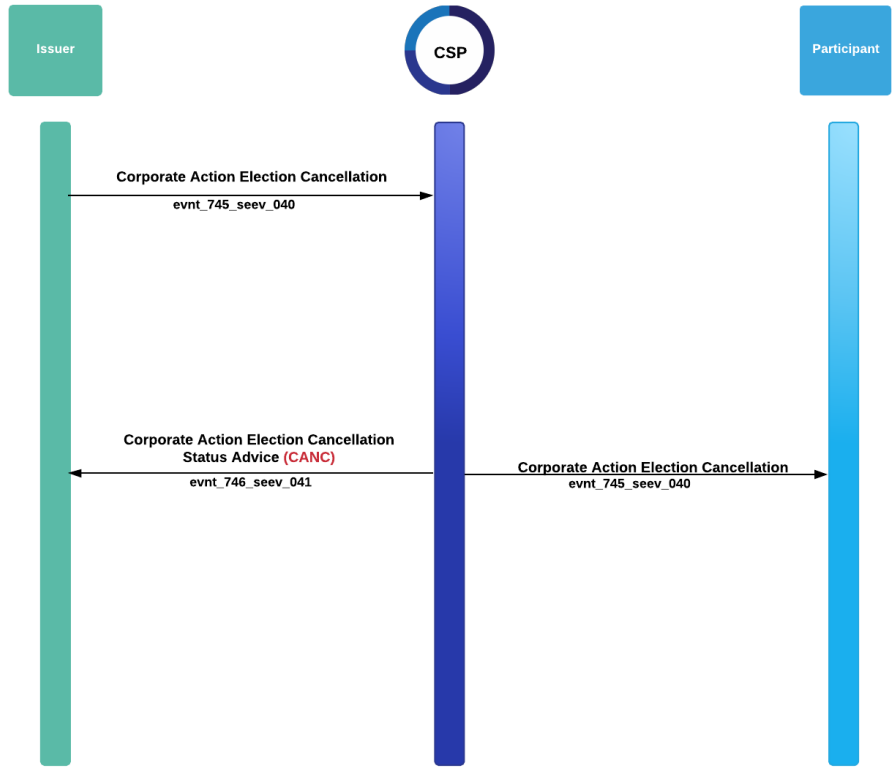


Status:

- **CANC**: <Cancelled>

3c Dividend / Distribution Election

Cancel Dividends elections- Issuer initiated



Status:

- **CANC**: <Cancelled>

3c Dividend / Distribution Election

evnt_742 (Corporate Action Election)

Corporate Action Election: evnt_742_seev_033

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Corporate Action Instruction V08 (seev.033.001.08)	<CorpActnInstr>			
1	Other Document Identification	<OthrDocId>	[0..*]		[1..1]
2	Identification	<Id>	[1..1]	Choice	
3	Account Owner Document Identification	<AcctOwnrDocId>	[1..1]	text{1,35}	
1	Corporate Action General Information	<CorpActnGnlInf>	[1..1]		
2	Corporate Action Event Identification	<CorpActnEvtId>	[1..1]	text{1,35}	
2	Event Type	<EvtTp>	[1..1]	Choice	
3	Code	<Cd>	[1..1]	text	
4	Dividend Option			DVOP	
4	Other Event			OTHR	
4	Repurchase Offer			BIDS	
4	Tender			TEND	
2	Underlying Security	<UndrlygScty>	[0..1]		[1..1]
3	Financial Instrument Identification	<FinInstrmId>	[0..1]		[1..1]
1	Account Details	<AcctDtls>	[1..1]		
2	Safekeeping Account	<SfkggAcct>	[1..1]	text{1,35}	T/C

Account owner Transaction Id (1..1): Transaction Id

Corporate Action Event Id (1..1): NONREF for DVOP (Dividends Option)

Event Type Code (1..1):

- DVOP – Dividends Option
- OTHR- Other Event

Any Corporate Action which operates similarly to a Takeover or a Buyback but is not published by Corporate Actions STP such as Re-Investment offers and Schemes.

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

Safekeeping Account (1..1): Account Identifier (HIN)

3c Dividend / Distribution Election

evnt_742 (Corporate Action Election)

Index	Lvl	Name	XML Tag	Mult	Type / Code	Restr	Change Filter	Min Mand
0		Corporate Action Instruction V08 (seev.033.001.08)	<CorpActnInstr>				Yes	Yes
1		Corporate Action Instruction	<CorpActnInstr>	[1..1]			Yes	Yes
2		Option Number	<OptnNb>	[1..1]	Choice		Yes	Yes
3		Number	<Nb>	[1..1]	text		Yes	
3		Code	<Cd>	[1..1]	text		Yes	
4		Unsolicted			UNSO			
2		Option Type	<OptnTp>	[1..1]	Choice		Yes	Yes
3		Code	<Cd>	[1..1]	text		Yes	Yes
4		Bonus Share Plan			BSPL		Yes	
4		Cash And Security			CASE		Yes	
4		Cash			CASH		Yes	
4		Security			SECU		Yes	
2		Securities Quantity Or Instructed Amount	<SctiesQtyOrInstdAmt>	[1..1]	Choice		Yes	Yes
3		Securities Quantity	<SctiesQty>	[1..1]			Yes	Yes
4		Instructed Quantity	<InstdQty>	[1..1]	Choice		Yes	Yes
5		Code	<Cd>	[1..1]	text		Yes	
6		All Securities			QALL			
5		Quantity	<Qty>	[1..1]	Choice		Yes	
6		Unit	<Unit>	[1..1]	decimal		Yes	
					td = 18 fd = 17			
1		Supplementary Data	<SplmtryData>	[0..*]			[0..1] Yes	
2		Place And Name	<PlcAndNm>	[0..1]	text(1,350)			
2		Envelope	<Envlp>	[1..1]			T/C Yes	
1		Additional Details evnt 742	<evnt742SuplDataV01>	[1..1]			A Yes	Yes
2		Instructed Percentage Rate	<InstPctRt>	[0..1]	decimal		(A) Yes	Yes
					td = 11 fd = 10		[1..1]	

Corporate Action Election: evnt_742_seev_033

Option Number (1..1): UNSO (Unsolicted) in case of DVOP

Option Type (1..1)

- BSPL
- CASE
- CASH
- SECU

Option code SECU also represents a DRP election

Security Quantity (1..1): choice

Code QALL (all securities)

Unit Quantity

Percentage: Supplementary Data below (Unit Quantity must contain '0' (zero).

3c Dividend / Distribution Election

evnt_743 (Corporate Action Election Status Advice)

1	Instruction Processing Status	<InstrPrccSts>	[1..*]	Choice	[1..1]
2	Cancelled	<Canc>	[1..1]	Choice	
3	Reason	<Rsn>	[1..*]		[1..1]
4	Reason Code	<RsnCd>	[1..1]	Choice	
5	Proprietary	<Prtry>	[1..1]		
6	Identification	<Id>	[1..1]	text	T/C
				[a-zA-Z0-9]{4}	
7	Housekeeping			HOUS	
7	Option Cancelled			COPT	
7	Event Cancelled			WITH	
7	Event finalised			FINL	
6	Issuer	<Issr>	[1..1]	text{1,35}	T/C
7	XASX			XASX	
2	Accepted For Further Processing	<AcctdForFrthPrcc>	[1..1]	Choice	
3	Reason	<Rsn>	[1..*]		[1..1]
4	Reason Code	<RsnCd>	[1..1]	Choice	
5	Proprietary	<Prtry>	[1..1]		
6	Identification	<Id>	[1..1]	text	T/C
				[a-zA-Z0-9]{4}	
7	Accepted			ACCP	
7	Pending Authorisation			PEND	
6	Issuer	<Issr>	[1..1]	text{1,35}	T/C
7	XASX			XASX	
2	Rejected	<Rjctd>	[1..1]	Choice	
3	No Specified Reason	<NoSpctdRsn>	[1..1]	text	
4	No Reason			NORE	

Corporate Action Election Status Advice:
evnt_743_seev_034

Instruction Processing Status (1..1 Choice):

Status: Cancelled

Reason (1..1):

Housekeeping (HOUS): Cancelled in the housekeeping

Status : Accepted

Reason

- ACCP: Accepted
- PEND: Pending Authorisation

Status (1..1 Choice): Rejected

Reason: No Reason (NORE)

3c Dividend / Distribution Election

evnt_745 (Corporate Action Election Cancellation)

Corporate Action Election: evnt_745_seev_040

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Corporate Action Instruction Cancellation Request V07 (seev.040.001.07)	<CorpActnInstrCxlReq>			
1	Instruction Identification	<InstrId>	[1..1]		
2	Identification	<Id>	[1..1]	text(1,35)	
1	Corporate Action General Information	<CorpActnGnlInf>	[1..1]		
2	Corporate Action Event Identification	<CorpActnEvtId>	[1..1]	text(1,35)	
2	Event Type	<EvtTp>	[1..1]	Choice	
3	Code	<Cd>	[1..1]	text	
4	Dividend Option			DVOP	
4	Other Event			OTHR	
4	Repurchase Offer			BIDS	
4	Tender			TEND	
2	Financial Instrument Identification	<FinInstrmId>	[0..1]		[1..1]
1	Account Details	<AcctDtls>	[1..1]		
2	Safekeeping Account	<SfkgAcct>	[1..1]	text(1,35)	T/C

Instruction Identification(1..1): Transaction Id

Corporate Action Event Id (1..1): NONREF for DVOP
(Dividends Option)

Event Type Code (1..1):

- DVOP – Dividends Option
- OTHR- Other Event

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

Safekeeping Account (1..1): Account Identifier (HIN)

3c Dividend / Distribution Election

evnt_745 (Corporate Action Election Cancellation)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Corporate Action Instruction Cancellation Request V07 (seev.040.001.07)	<CorpActnInstrCxlReq>			
1	Corporate Action Instruction	<CorpActnInstr>	[1..1]		
2	Option Number	<OptnNb>	[1..1]	Choice	
3	Number	<Nb>	[1..1]	text [0-9]{3}	
3	Code	<Cd>	[1..1]	text	
4	Unsolicited			UNSO	
2	Option Type	<OptnTp>	[1..1]	Choice	
3	Code	<Cd>	[1..1]	text	
4	Bonus Share Plan			BSPL	
4	Cash And Security			CASE	
4	Cash			CASH	
4	Security			SECU	
2	Instructed Quantity	<InstdQty>	[1..1]	Choice	
3	Code	<Cd>	[1..1]	text	
4	All Securities			QALL	
3	Quantity	<Qty>	[1..1]	Choice	
4	Unit	<Unit>	[1..1]	decimal td = 18 fd = 17	
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 _ Evnt 745	<AdtDtls>	[1..1]	text{4}	A
2	Legal Entitlement			LEGL	(A)
2	Plan Suspended			SUSP	(A)
2	Ineligible to Participate			PARX	(A)
2	Zero Holding			NOHO	(A)
2	Investor Request			IREQ	(A)

Corporate Action Election: evnt_745_seev_040

Option Number (1..1): UNSO (Unsolicited) in case of DVOP

Option Type (1..1)

- BSPL
- CASE
- CASH
- SECU

Option code SECU also represents a DRP election

Security Quantity (1..1): choice

Code QALL (all securities)
Unit Quantity

Cancellation Request Reason

3c Dividend / Distribution Election

evnt_746 (Corporate Action Election Cancellation Status Advice)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Corporate Action Instruction Cancellation Request Status Advice V08 (seev.041.001.08)	<CorpActnInstrCxlReqStsAdv>			
1	Instruction Cancellation Request Identification	<InstrCxlReqId>	[0..1]		[1..1]
2	Identification	<Id>	[1..1]	text{1,35}	
1	Corporate Action General Information	<CorpActnGnlInf>	[1..1]		
2	Corporate Action Event Identification	<CorpActnEvtId>	[1..1]	text{1,35}	
2	Event Type	<EvtTp>	[1..1]	Choice	
3	Code	<Cd>	[1..1]	text	
4	Dividend Option			DVOP	
4	Other Event			OTHR	
4	Repurchase Offer			BIDS	
4	Tender			TEND	
1	Instruction Cancellation Request Status	<InstrCxlReqSts>	[1..*]	Choice	[1..1]
2	Accepted	<Acptd>	[1..1]		
3	No Specified Reason	<NoSpdfdRsn>	[1..1]	text	
4	No Reason			NORE	

Corporate Action Election Cancellation Status Advice: evnt_746_seev_041

Transaction Identification(1..1): Transaction Id

Corporate Action Event Id (1..1): NONREF for DVOP (Dividends Option)

Event Type Code (1..1):

- DVOP – Dividend Option
- OTHR- Other Event

Cancellation Request Status(1..1 Choice):

<Accepted>

Reason (1..1) >> NORE (No reason)

3c Dividend / Distribution Election

evnt_746 (Corporate Action Election Cancellation Status Advice)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Corporate Action Instruction Cancellation Request Status Advice V08 (seev.041.001.08)	<CorpActnInstrCxlReqStsAdv>			
1	Corporate Action Instruction	<CorpActnInstr>	[0..1]		[1..1]
2	Option Number	<OptnNb>	[1..1]	Choice	
3	Number	<Nb>	[1..1]	text [0-9]{3}	
3	Code	<Cd>	[1..1]	text	
4	Unsolicited			UNSO	
2	Option Type	<OptnTp>	[1..1]	Choice	
3	Code	<Cd>	[1..1]	text	
4	Bonus Share Plan			BSPL	
4	Cash And Security			CASE	
4	Cash			CASH	
4	Security			SECU	
2	Financial Instrument Identification	<FinInstrmid>	[0..1]		
1	Additional Information	<AddtlInf>	[0..1]		
2	Additional Text	<AddtlTtxt>	[0..*]	text{1,350}	[1..1] T/C
3	Legal Entitlement			LEGL	
3	Plan Suspended			SUSP	
3	Ineligible to Participate			PARX	
3	Zero Holding			NOHO	
3	Investor Request			IREQ	

Corporate Action Election Cancellation Status Advice: evnt_746_seev_041

Option Number (1..1): UNSO (Unsolicited) in case of DVOP

Option Type (1..1)

- BSPL
- CASE
- CASH
- SECU

Option code SECU also represents a DRP election

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

Cancellation Request Reason

3d Distribution Advice Notification

Overview

The Distribution Advice Notification is used to notify a Participant of details relating to an mFunds distribution prior to the Holding Adjustment that adjusts units. The message is currently only supported only for mFunds

What's Changing?

- The Unit Allotment (Holding Adjustment) message will no longer be contingent on receipt of the Distribution Advice Notification in mFunds.
- For future proofing purposes the message is supported across all asset classes and can also be used for cash distributions. Usage in these circumstances is not mandatory.

3d Distribution Advice Notification

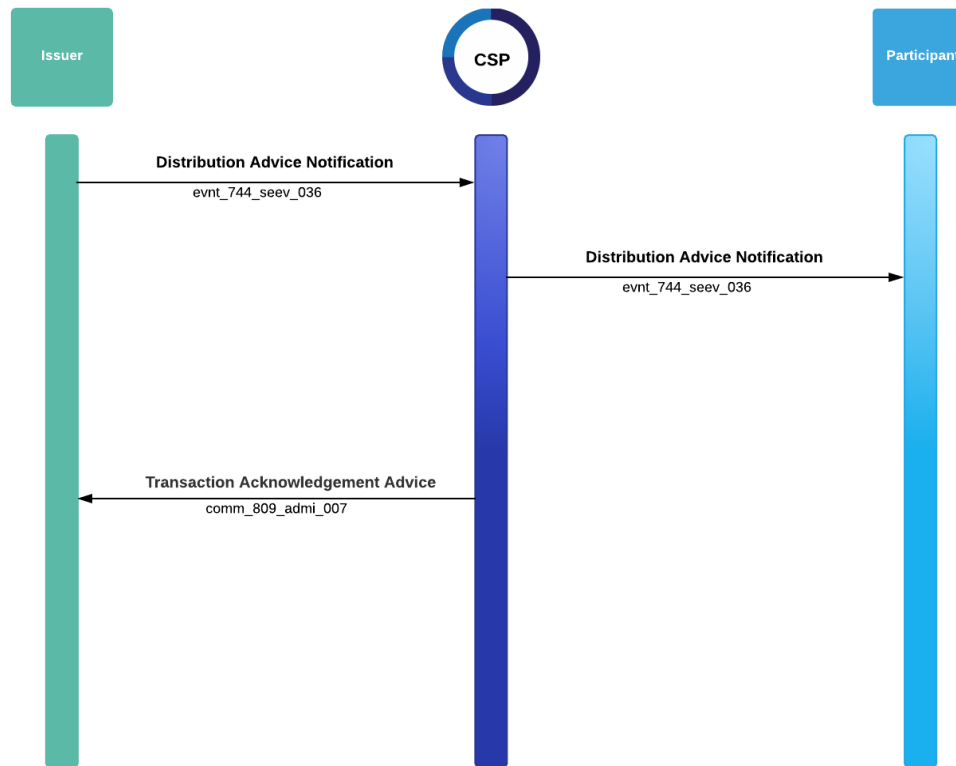
'To-be' message consolidation table

Distribution Advice Notification

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Notification	n.a.	evnt_744	seev_036	Distribution Advice Notification	Issuer; CSP	CSP; Participant

3d Distribution Advice Notification

Distribution Advice Notification



3d Distribution Advice Notification

evnt_744 (Distribution Advice Notification)

Corporate Actions Details	Rate and Amount Details	Securities Movement Details	Cash Movement Details
Transaction Id (1..1)	Rate Type (1..1)	Record Date (1..1)	Posting Amount (1..1)
Corporate Action Event Id (1..1)	Gross Dividend Rate (1..1)	Unit Quantity (1..1)	Gross Cash Amount (1..1)
Event Type Code (1..1)	Gross Dividend Rate Status (1..1)	Payment Date (1..1)	Net Cash Amount (1..1)
Safekeeping Account (1..1)	Net Dividend Rate (1..1)	Reinvestment Price (1..1)	Fully Franked Amount (0..1)
Quantity (1..1)	Withholding Tax Rate (1..1)		Unfranked Amount (0..1)
Record Date (1..1)			Withholding Tax Amount (0..1)
Option Number (1..1)			Charges Amount (0..1)
Option Type (1..1)			Cash Amount Brought Forward (0..1)
			Cash Amount Carried Forward (0..1)
			Payment Date (1..1)

3e Levy Notification

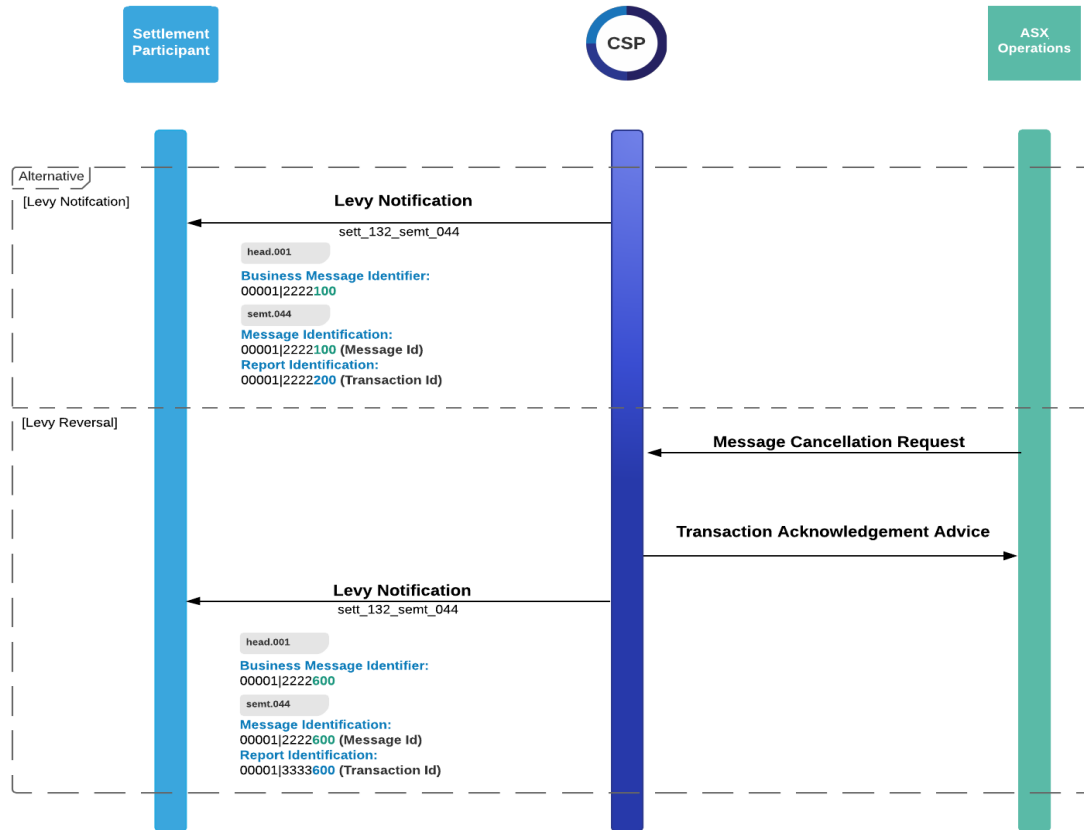
'To-be' message consolidation table

Levy Notification

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Notification	EIS 544 - Levy Notification EIS 548 - Reversed Levy Notification	sett_132	semt_044	Levy Notification	CSP	Participant

3e Levy notification

Levy Notification/ Levy Reversal Flow



3e Levy notification

Levy Notification/ Levy Reversal Message

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Securities Transaction Penalties Report V01	<SctiesTxPnltiesRpt>			
1	Report General Details	<RptGnlDtls>	[1..1]		
2	Report Identification	<RptId>	[1..1]	text{1,35}	
1	Account Servicer	<AcctSvcr>	[1..1]		
2	Identification	<Id>	[1..1]	Choice	
1	Penalty	<Pnlty>	[0..*]		[1..1]
2	Currency	<Ccy>	[1..1]	text	
2	Party Identification	<PtyId>	[1..1]		
3	Identification	<Id>	[1..1]		
2	Penalty Per Counterparty	<PnltyPerCtrPty>	[0..*]		[1..1]
3	Party Identification	<PtyId>	[1..1]		
4	Identification	<Id>	[1..1]		
3	Aggregated Net Amount	<AggdNetAmt>	[1..1]		
4	Amount	<Amt>	[1..1]	0 <= decimal	T/C
5	Xml Attribute Currency	<Ccy>		text	
4	Credit Debit	<CdtDbt>	[0..1]	text	[1..1]
3	Penalty Details	<PnltyDtls>	[0..*]		[1..1]
4	Identification	<Id>	[1..1]		
5	Market Infrastructure Identification	<MktInfstrctrid>	[1..1]	text{1,35}	
4	Type	<Tp>	[1..1]	text	
5	Settlement Failed Penalty			SEFP	

Levy Notification: sett_132_DRAFT3sem0_044 (EIS 544, EIS 548)

Report Identification (1..1): Transaction Id

Account Servicer (1..1): Identifier of the CSP

Party Identification (1..1): Identifier of the Actor charged the settlement levy.

Counterparty Identification (1..1): Identifier of the CSP

Levy Value(1..1): Batch settlement levy calculated by the CSP System

Settlement Batch Id (1..1): Identifier of the current batch settlement process



3e Levy notification

Levy Notification/ Levy Reversal Message

Lvl	Name	XML Tag	Mult	Type / Code	Restr
4	Status	<Sts>	[0..1]		[1..1]
6	Code	<Cd>	[1..1]	text	
7	Active			ACTV	
7	Removed			REMO	
4	Computed Amount	<CmptdAmt>	[1..1]		
5	Amount	<Amt>	[1..1]	0 <= decimal	T/C
5	Credit Debit	<CdtDbt>	[0..1]	text	[1..1]
4	Calculation Data	<ClctnData>	[0..*]		[1..1]
5	Date	<Dt>	[1..1]	date	
5	Financial Instrument Attributes	<FinInstrmAttrbts>	[1..1]		
1	Supplementary Data	<SplmtryData>	[0..*]		[1..1]
1	Penalty additional Details	<PnltyAddtlDtls>	[1..1]		A
2	Quantity	<Qty>	[0..1]	Choice	(A)
3	Unit	<Unit>	[1..1]	decimal	(A)
2	Amount	<Amt>	[0..1]	0 <= decimal <=	(A)
3	Xml Attribute Currency	<Ccy>		text	(A)
2	Safekeeping Account	<SfkgpAcct>	[0..1]		(A)
3	Identification	<Id>	[1..1]	text{1,35}	(A)
2	Trade Transaction Condition	<TradTxCond>	[0..*]	Choice	(A)
3	Proprietary	<Prtry>	[1..1]		(A)
4	Identification	<Id>	[1..1]	text	(A) T/C
4	Issuer	<Issr>	[1..1]	text{1,35}	(A) T/C
5	XASX			XASX	(A)

Levy Notification: sett_132_DRAFT3sem044 (EIS 544, EIS 548)

Levy Status (1..1):

- Active (ACTV)
- Removed (REMO)

Levy Value (1..1): Batch settlement levy calculated by the CSP System

Settlement Date (1..1)

Security Code (1..1)

Securities Shortfall (0..1): Number of units the Account (HIN) is unable to deliver for the security

Securities Valuation (0..1): Securities shortfall multiplied by the closing price of the security as reported by the primary listed venue.

Account Identifier (HIN) (1..1):



3f Payment Facilities

Overview

Payment Facilities have been enhanced to support Corporate Action, Bilateral Demand Settlement Instruction and mFund payments alongside enhancements to support RTGS payments. Management will be facilitated by ASX Operations and notifications sent to the Participant and Payment Provider.

What's Changing?

- Enhanced to support Corporate Action, Bilateral Demand Settlement Instruction and mFund payments.
- mFunds Applications and Redemptions will no longer require the creation of a “Payment” HIN as they can be nominated as specific Payment Facility sub-types.
- Payment Facilities used for RTGS payments must include a Bank Account.

3f Payment Facilities

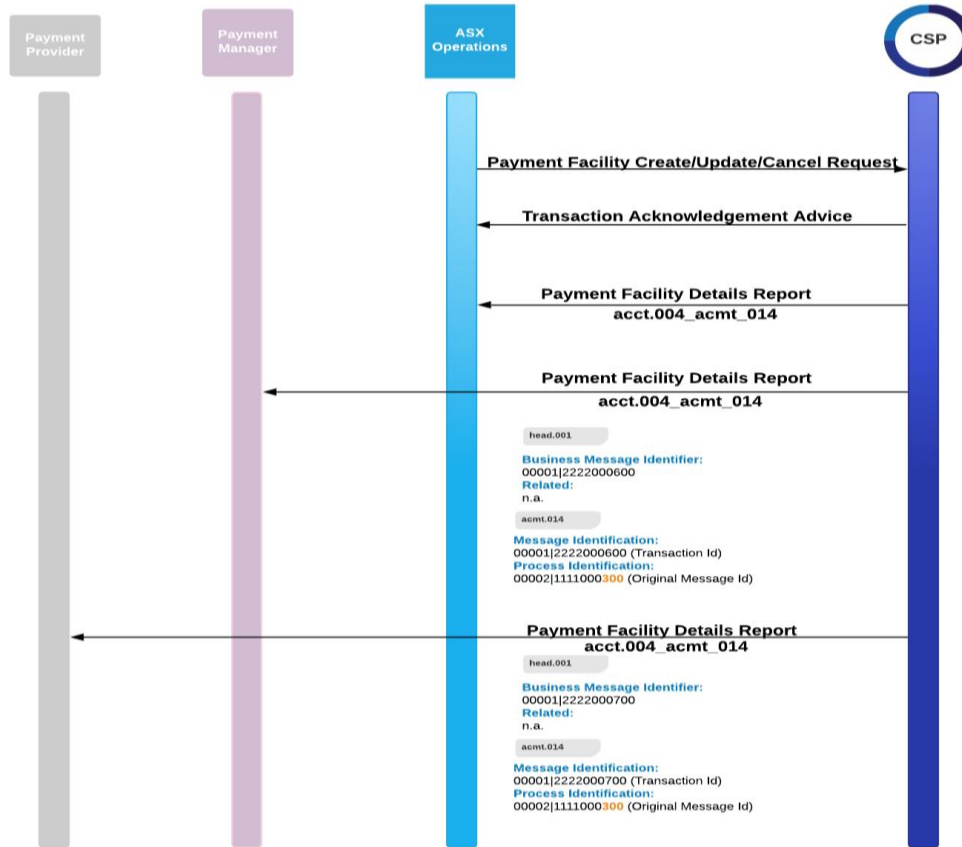
'To-be' message consolidation table

Payment Facilities

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Notification	EIS 240 - Created Payment Facility EIS 242 - Applied Payment Facility Update EIS 244 - Cancelled Payment Facility	acct_004	acmt_014	Payment Facility Details Report	CSP	Payment Facility Manager, Payment Provider

3f Payment Facilities

Payment Facilities Create/Update/Cancel Flow



3f Payment Facilities

Payment Facilities Create/Update/Cancel Flow

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Account Report V02 (acmt.014.001.02)	<AcctRpt>			
1	References	<Refs>	[1..1]		
2	Request Type	<ReqTp>	[1..1]	text	
3	Opening			OPEN	
3	Maintenance			MNTN	
3	Closing			CLSG	
1	Account Servicer Identification	<AcctSvcrId>	[1..1]		
2	Financial Institution Identification	<FinInstnId>	[1..1]		
1	Organisation	<Org>	[1..1]		
2	Full Legal Name	<FullLglNm>	[1..1]	text{1,350}	
2	Organisation Identification	<OrgId>	[1..1]		
3	Any BIC	<AnyBIC>	[0..1]	text	
3	Other	<Othr>	[0..*]		[0..1]
4	Identification	<Id>	[1..1]	text{1,35}	T/C
1	Report	<Rpt>	[0..*]		[1..1]
2	Account	<Acct>	[1..1]		
3	Identification	<Id>	[1..*]	Choice	[1..1]
3	Status	<Sts>	[0..1]	text	[1..1]
4	Enabled			ENAB	
4	Disabled			DISA	
3	Type	<Tp>	[0..1]	Choice	[1..1]
4	Proprietary	<Prtry>	[1..1]	text{1,35}	T/C
5	Account Specific			ACCT	
5	Nominated			NOMN	

Payment Facility Details Report:

acct_004_acmt_014 (EIS 240, EIS 242, EIS 244)

Request Type (1..1):

- Create (opening)
- Update (maintenance)
- Delete (closing)

Identifier of Payment Provider (1..1)

Identifier of Payment Manager (1..1)

Payment Facility Id (1..1)

Payment Facility Status (1..1)

Enabled (ENAB)= Active
Disabled (DISA)= Disabled

Payment Facility Type (1..1)

- Account Specific (ACCT)
- Nominated (NOMN)

3f Payment Facilities

Payment Facilities Create/Update/Cancel Flow

Lvl	Name	XML Tag	Mult	Type / Code	Restr
1	Supplementary Data	<SplmtryData>	[0..*]		[0..1]
1	Payment Facility Additional Data	<PmtFciltyAddtl>	[1..1]		A
2	Safekeeping Account	<SfkggAcct>	[0..200]		(A)
3	Identification	<Id>	[1..1]	text{1,35}	(A) T/C
2	Payment Facility Change Reason	<PmtFciltyChgR>	[0..1]	text{4}	(A)
2	Account Restriction Details	<AcctRstrctnDtl>	[0..6]		(A)
3	Investment Account Sub Type	<InvstmtAcctSb>	[1..1]		(A)
4	Restriction Type	<RstrctnTp>	[1..1]	Choice	(A)
5	Proprietary	<Prtry>	[1..1]		(A)
6	Identification	<Id>	[1..1]	text{1,4}	(A) T/C
7	Batch			BATC	(A)
7	Bilateral Demand Payer			BDSP	(A)
7	Bilateral Demand Payee			BDSR	(A)
7	Corporate Action			CAEN	(A)
7	mFund Application			MFAP	(A)
7	mFund Redemption			MFRD	(A)
3	Cash Account	<CshAcct>	[0..1]		(A)
6	Identification	<Id>	[1..1]	text{1,34}	(A) T/C

Payment Facility Details Report:

acct_004_acmt_014 (EIS 240, EIS 242, EIS 244)

Account Identifier (HIN) (0..200)

Payment Facility Change Reason (0..1)

ASX proprietary code list :

PaymentFacilitiesChangeReason_ASX_1

Payment Facility Sub-type (1..1)

- Batch
- Bilateral Demand Payer
- Bilateral Demand Payee
- Corporate Action Entitlement
- Mfund Application
- Mfund Redemption

Bank Account (0..1)

3g 'To-be' messages for review

To-be Messages	Collections
evnt_742	draft_evnt
evnt_743	draft_evnt
evnt_744	draft_evnt
evnt_745	draft_evnt
evnt_746	draft_evnt
comm_809	draft_comm
sett_132	draft_sett
acct_004	draft_acct

MyStandards 'to-be' documentation

Community: ASX ISO 2022 Technical Committee

Collection: ASX_AU_CHS_draft_evnt
ASX_AU_CHS_draft_sett
ASX_AU_CHS_draft_acct
ASX_AU_CHS_draft_comm

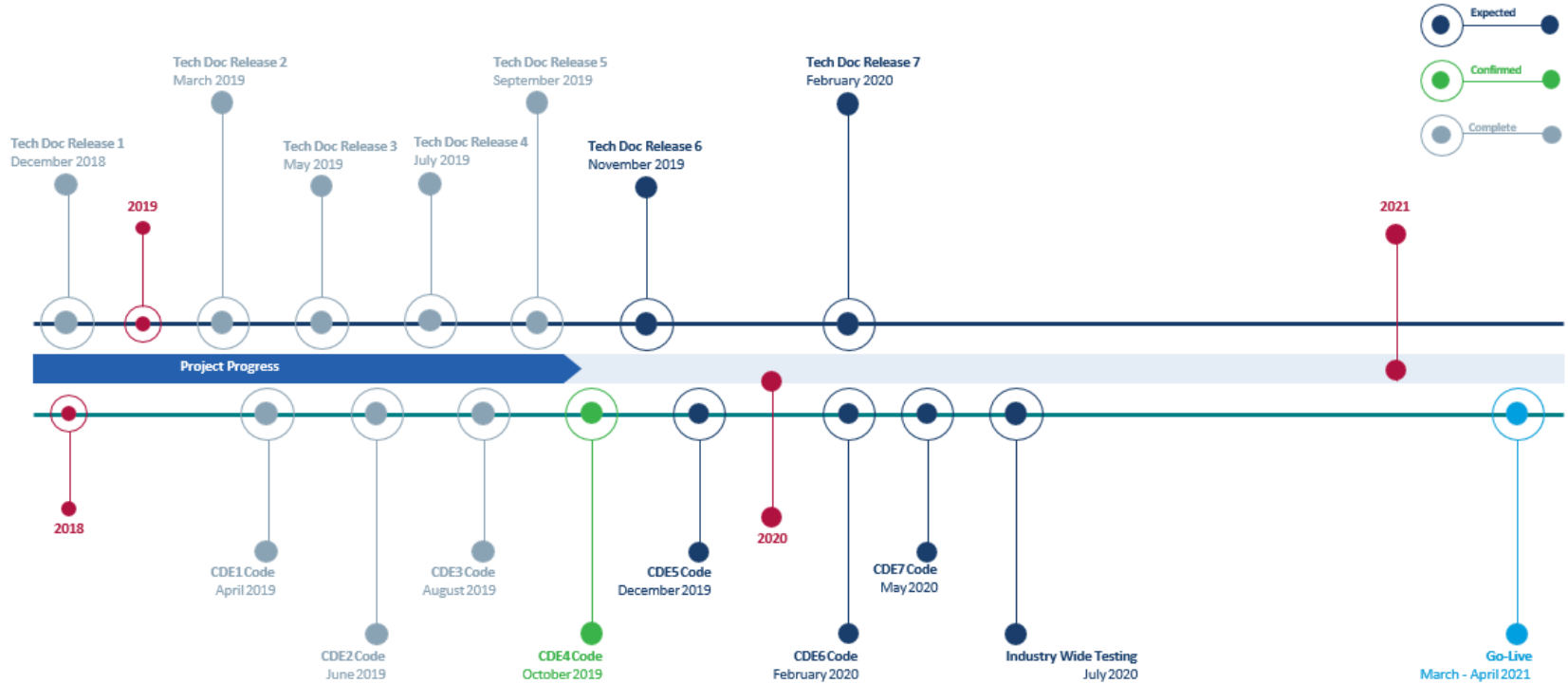
Further details (attached to Message Definitions in MyStandards)

- 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 **15 November 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:
 - mFund
 - Settlement – unit fails
 - Holding Adjustment
 - Corporate Actions
 - Payment Facilities

- > 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 October 2019		Technical Documentation (releases 1,2,3, 4 and 5)		Additional drafts shared with Technical Committee (TC) ahead of future Technical Documentation drops		Total Technical Documentation and Technical Committee		Total Technical Documentation and Technical Committee and candidates for descope*	
		Total # CHES "as-is" messages in scope	# CHES messages mapped	Equivalent # ISO 20022 messages finalised	# CHES messages mapped	Equivalent # ISO 20022 messages drafted	# CHES messages mapped	Equivalent # ISO 20022 messages	*# CHES message candidates for descope
ISO 20022 Business Area									
Account management (acct)	53	11	6			11	1	12	6
Operations Admin (admn)	11	1	1			1		1	1
Common (comm)	2	11	4			11		11	4
RTGS (gset)	60					0	60	60	0
Holding movement (hold)	37	82	23			82	1	83	23
mFund Service (mfnd)	85			12	6	12	29	41	6
Pledge and Lodge Management (pldg)	85	39	6			39	1	40	6
Reporting (rptg)	36					0		0	0
Settlement (sett)	51	37	29			37	1	38	29
Corporate Actions (evnt)		19	4	5	1	24		24	5
Total	420	200	73	17	7	217	93	310	80
% equivalent CHES" as-is" messages delivered		47.62%		4.05%		51.67%		73.81%	

More details:

41 **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

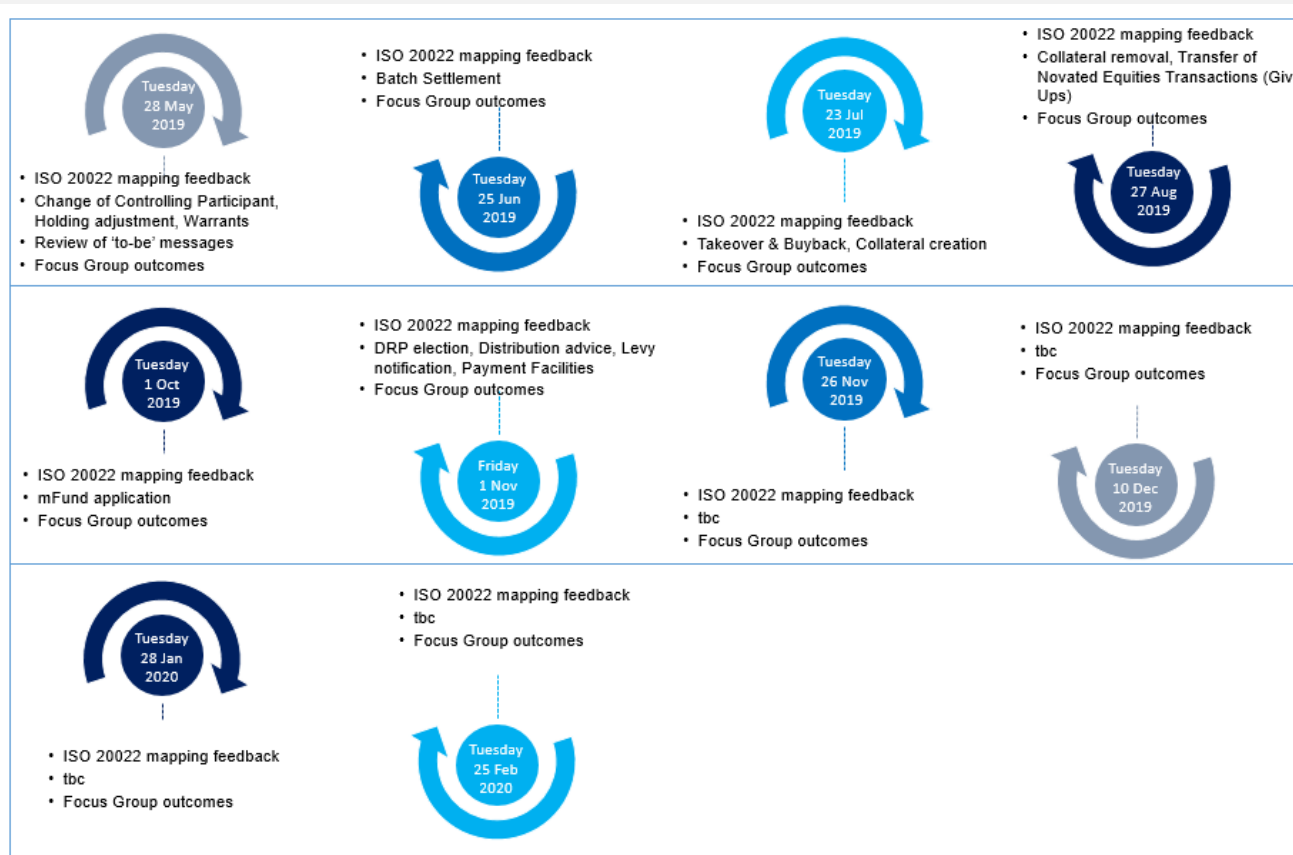
- > Noted actions from this meeting
- > Draft minutes from this meeting will be distributed for review
- > Next meeting to be held Tuesday 26 November – Sydney, webinar; proposed topics tbc
- > Forward meeting plan – see next page

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.