

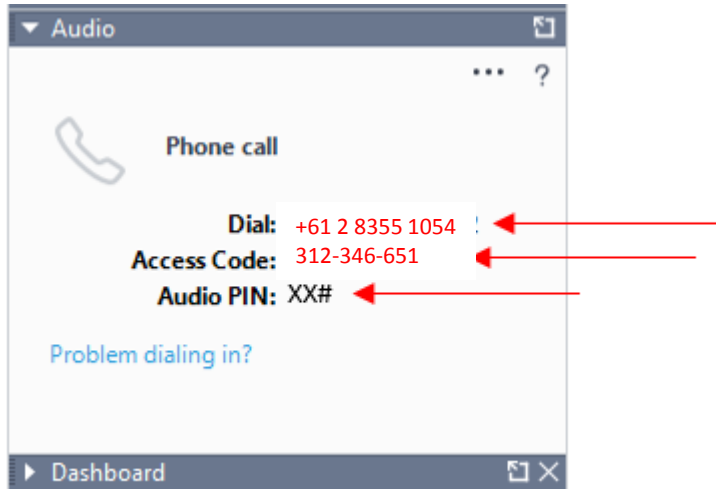


ISO 20022 Technical Committee Meeting

28 January 2020

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 – Margin settlement and excess cash instruction

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

3c Corporate action – refund

3d mFund redemption

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 10 December 2019 meeting published 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">the intended timing for housekeeping of unmatched messages, any standardisation opportunities; (this item is closed)whether settlement requests could be future dated; (this item is closed)ASX would also consider the visibility of holding locks to issuers on an intra-day basis.	ASX	28 Jan 2020	
100	10 Dec 2019	ASX to replay the feedback received from members on current and future use of reports and relevance/applicability of ASX's proposed reporting solution, including proposed descoped reports. ASX to also provide an update on how reporting would initiate in the instance of a code change, including class mergers.	ASX	28 Jan 2020	
101	10 Dec 2019	ASX to consider whether it could take any steps to achieve a better outcome for issuers, in terms of more timely lodgement and payment of corporate action entitlement applications.	ASX	28 Jan 2020	
102	10 Dec 2019	ASX to confirm the technical process order – whether the aggregate per participant payment notification via sett_138 gets processed/settled before the evt_742 corporate action election with payment ID.	ASX	28 Jan 2020	

2. Minutes and actions

Open action items (cont'd):

#	Meeting Date	Open Action Items	Owner	Due Date	Status
103	10 Dec 2019	ASX to clarify the timing of the housekeeping message in the entitlement election (participant initiated) flow, for which the payment gets rejected before the deadline, and whether it could be done as close to RITS end-of-day as possible	ASX	28 Jan 2020	
104	10 Dec 2019	Members to review ASX's proposed notification messages for corporate action entitlements and review whether appropriate, or use of statuses would be preferred.	Members	28 Jan 2020	
105	10 Dec 2019	ASX to confirm whether an RTGS payment for an entitlement could be processed whilst the daily settlement batch was running.	ASX	28 Jan 2020	
106	10 Dec 2019	Registry members to consider whether they would prefer structured beneficial holder data (name and address of beneficiary) in the evnt_742 message vs narrative format.	Members	28 Jan 2020	
107	10 Dec 2019	Members to provide feedback on how many individual elections they would like to include in a single payment via sett_141 message, as well as any file sizes constraints for ASX to consider from a non-functional perspective.	Members	28 Jan 2020	
108	10 Dec 2019	Members and ASX to consider whether the investor data being passed through in the acct_012 message is able to be used by the share registry for the desired purpose.	Members/ASX	28 Jan 2020	

Actions - Appendix 1 – updates to Demand Reporting solution

Area	Initially proposed solution	Customer feedback	Revised solution proposal
Holder & Holding queries	<p>CEB, HBL, HLD, HRD, HSB</p> <ul style="list-style-type: none"> - To be made available in ISO 20022, Ledger API on current state - Ledger API / Browser only for historical reporting - No scheduling 	<p>Majority of feedback in support of proposal. Following requests made:</p> <ul style="list-style-type: none"> - CEB & HBL be made available on historical data (as at dated) in ISO 20022 - Add TFN & Bank Account details to CEB report 	<ul style="list-style-type: none"> - CEB, HBL will now support 'as at date' via ISO 20022, Ledger, Browser - TFN & Bank Account details are passed through and not stored as part of holder data. They are not available for subsequent retrieval via reporting. <p>All other aspects of initial proposal retained.</p>
Transaction history & obligations	<p>CFB, CSI, FGM, FHT, FSI, HCT, HLH, HSP, HTX, OBL, PPS, RAC, SCE, SET, SMP, SMR, TPB, TPD, URT, USI</p> <p>To be made available via Browser, ad hoc only</p>	<p>Majority of feedback in support of proposal. Following request made:</p> <ul style="list-style-type: none"> - CFB be made available via ISO 20022 	<ul style="list-style-type: none"> - CFB will be made available via ISO 20022 in addition to proposed Ledger API & Browser <p>All other aspects of initial proposal retained, noting some of these will be de-scoped based on observed usage (cf section 'de-scope candidates' next slide)</p>
Statement request	<p>Solution currently under analysis pending outcomes from e-statements working groups</p>	n/a	n/a

Actions - Appendix 1 – updates to Demand Reporting solution (cont'd)

Area	Initially proposed solution	Customer feedback	Revised solution proposal
Movement & balance reports	CMV, HMV, TCB, TSB to be made available on an end of day, unsolicited basis only via ISO 20022 / Ledger API / Browser.	Majority of feedback in support of proposal. Following requests made: <ul style="list-style-type: none"> - Add CEB to the list of reports generated on an unsolicited EOD basis - Support ad-hoc historical CMV, HMV 	<ul style="list-style-type: none"> - Review of CEB usage has indicated this report is not wide spread enough to provide unsolicited. - CMV, HMV will now support ad-hoc historical All other aspects of initial proposal retained.
Security details report	Automatically be generated for each business day by the CHES replacement application, available in .csv format via existing WMI sFTP directory	No feedback received	All aspects of initial proposal retained.
De-scope candidates	Already ratified as de-scoped via TC: OSL, PFD, PFH, USD, USH, CSD, CST, FLN Proposed to be ratified as de-scoped via TC: CFB, DSR, FHT, HLH, HSP, HTX, OBL, PPS, RPD, SET, SMP, SMR, TSH	Majority of feedback in support of proposal. Following requests made: <ul style="list-style-type: none"> - Retain CFB report, currently in use - One member requested retention of OBL report, but there were no recorded uses of this report in last 12 months by this member 	<ul style="list-style-type: none"> - CFB report will be retained as per above comments. - All proposed reports for de-scoping will not be replaced. - In addition, the following reports will be de-scoped based on zero observed usage: CSI, FGM, FSI, HCT, RAC, SCE, TPB, TPD, URT, USI

3. Matters for consideration

3a Focus Group update

Margin Settlement & Excess Cash Instruction

- > Focus group held on 12 December 2019
- > Discussed matters relating to Margin Settlement & Excess Cash Instruction
- > The ASX solution proposal included:
 - Proposal that the Excess Cash Standing Instruction and Daily Margin Instruction become ASX operations supported processes, and will not be available via ISO 20022 message or Ledger API
 - Margin, Interest Earned and Collateral reports will be aligned to ASX Clear Futures dissemination path and made available for daily download via SFTP server in .csv and PDF formats
 - Settlement of cash via Austraclear and lodgement of non-cash-collateral remains unaffected by this proposal
- > Key points raised by Clearing Participants included the need to receive daily margin report and the ability to instruct daily margin instructions via ISO 20022 / Ledger API.
- > ASX is taking into consideration the feedback and will revert with a revised solution proposal, likely to include the ability to receive Daily Margin Report and the ability to instruct Daily Margin Instruction via ISO 20022 / Ledger API.

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

Updated

Messages shared during Technical Committees on 26 November 2019 and 10 December 2019:

- **Corporate Actions Elections**
 - Comments on 7 guidelines by 5 members (1 Vendor, 4 Participants)
 - Total of 29 comments received
- **Investor Details**
 - Comments on 4 guidelines by 4 members (1 Vendor, 3 Participants)
 - Total of 28 comments received
- **Settlement Processing of Unit Failure**
 - Comments on 8 guidelines by 2 members (2 Participants)
 - Total of 8 comments received

3c Corporate Action - Refund

Overview

Processing of Refunds are a new feature for CHES Replacement allowing refunds of applications for Renounceable, Non-Renounceable Rights Issues and Scalebacks on Rights Issues Over-Subscriptions and Share Purchase Plans.

The notification of refund & payment are separate messages, allowing the Issuer Registry to manage when the notification of refund is made and reimbursement monies paid. Refund notifications will not be sent to the Participant until payment confirmation has been received.

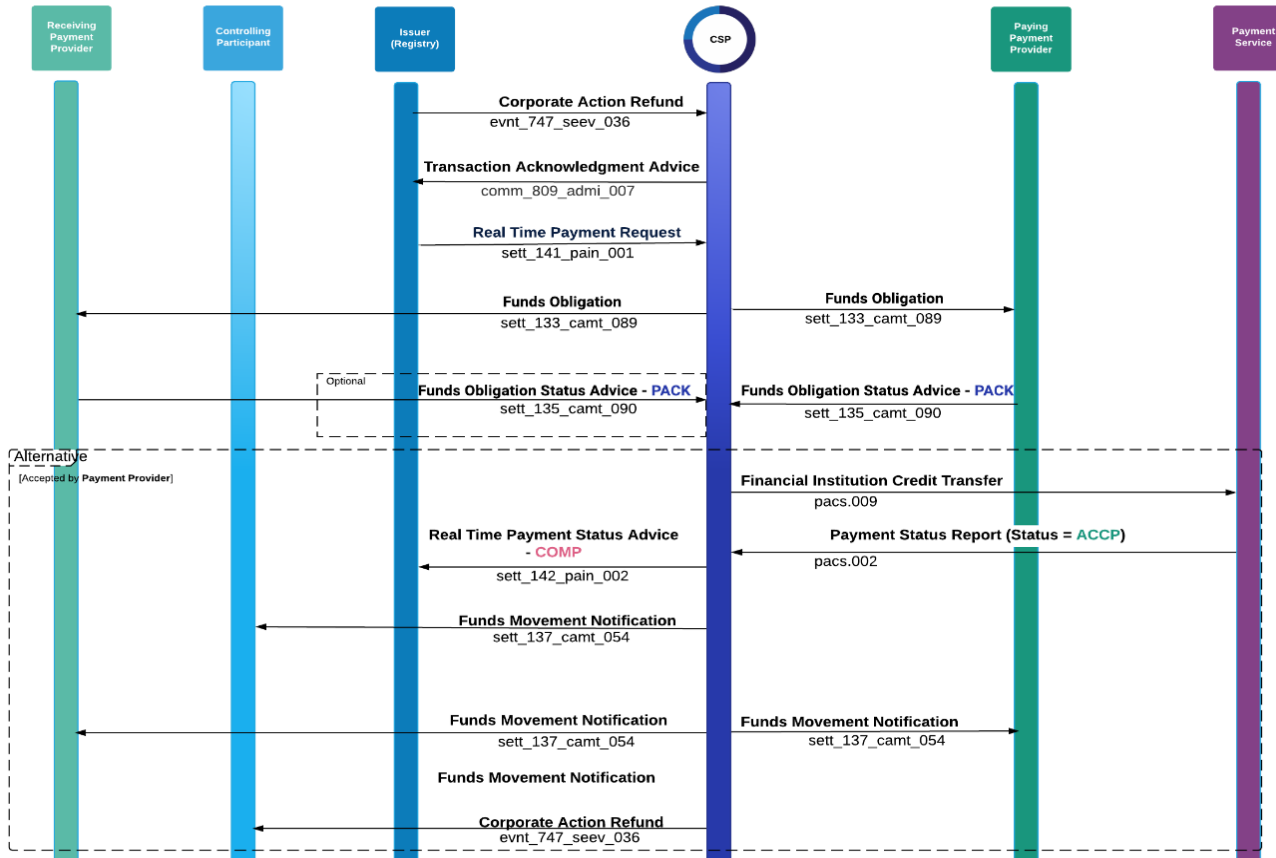
The Notification of a refund will include details allowing the Participant to link the refund to their original Entitlement Election.

3c Corporate Action - Refund

Updated

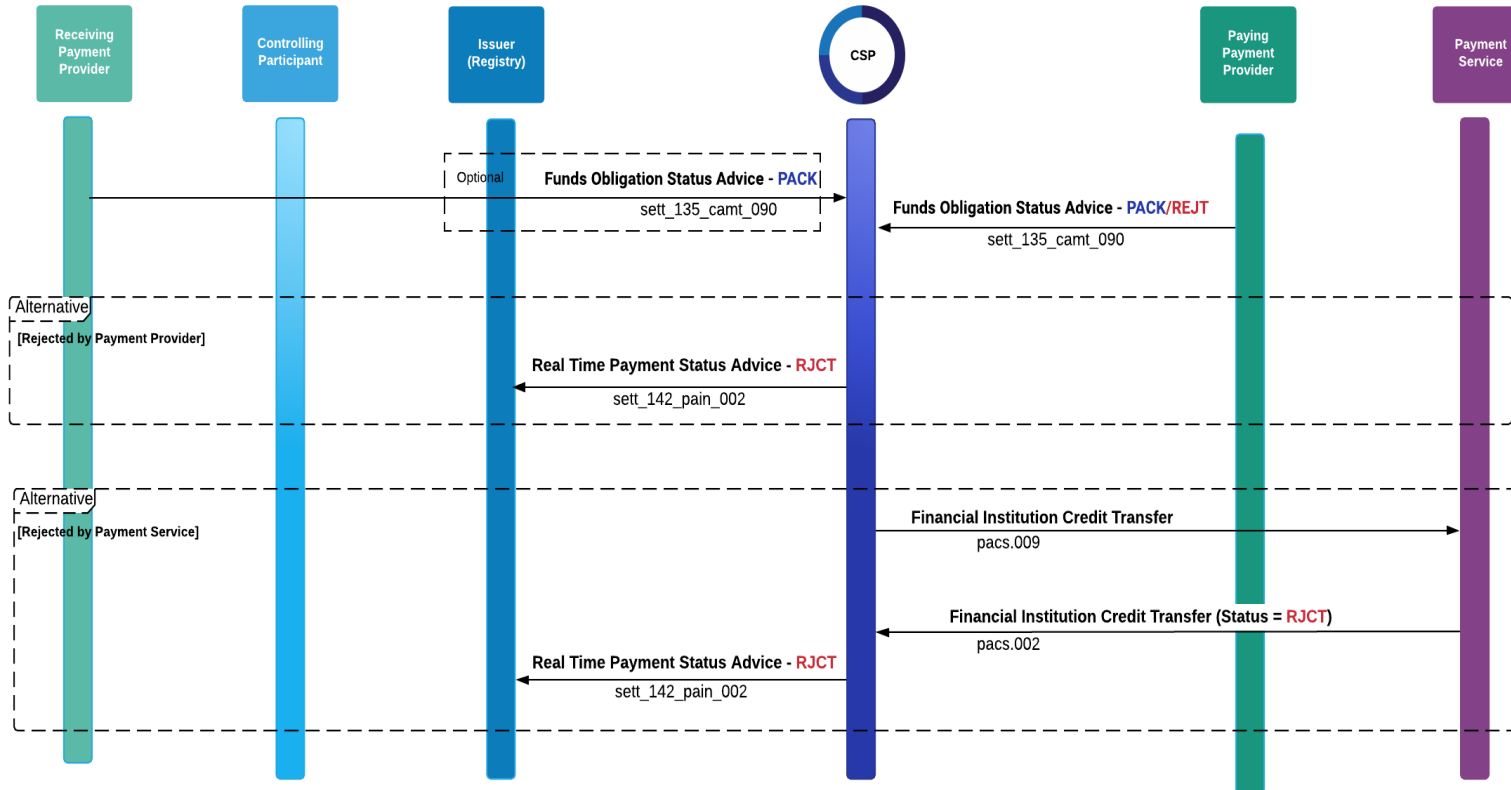
Message Type	Message Id	EIS	ISO 20022 base message	Message Name	From	To
Request	evnt_747	n.a.	seev_036	Corporate Action Refund	Issuer, CSP	CSP, Participant
Notification	sett_133	n.a. same as EIS 310, 312	DRAFT1camt_089	Funds Obligation	CSP	Payment Provider
Notification	sett_135	n.a. same as EIS 311, 313	DRAFT1camt_090	Funds Obligation Status Advice	Payment Provider	CSP
Notification	sett_137	n.a. same as EIS 170	camt_054	Funds Movement	CSP	Payment Provider, Participant

3c Corporate Action - Refund Initiated by Issuer/Registry



3c Corporate Action - Refund

Alternative Flows



3c Corporate Action - Refund evnt_747 (Corporate Action Refund)

Updated

Corporate Action Refund: evnt_747_seev_036

Lvl	Name	XML Tag	Mult	Type / Coc	Restr
0	Corporate Action Movement Confirmation	<CorpActnMvmntConf			
1	Instruction Identification	<InstrId>	[0..1]		[1..1]
1	Other Document Identification	<OthrDocId>	[0..*]		[1..1]
2	Identification	<Id>	[1..1]	Choice	
3	Account Servicer Document	<AcctSvcrDocId>	[1..1]	text{1,35}	
2	Document Number	<DocNb>	[0..1]	Choice	
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	Priority Issue			PRIO	
4	Rights Issue			RHTS	
2	Financial Instrument Identification	<FinInstrmId>	[1..1]		
1	Account Details	<AcctDtls>	[1..1]		
2	Safekeeping Account	<SfkgAcct>	[1..1]	text{1,35}	T/C
2	Balance	<Bal>	[1..1]		
3	Confirmed Balance	<ConfdBal>	[1..1]	Choice	
3	Total Eligible Balance	<TtlElgblBal>	[0..1]		

Target Transaction Id (1..1): Transaction Id of a Corporate Action Election

Document Number (0..1): Customer Entitlement Number

Corporate Action Event Id (1..1): Corporate Action Event Id of the Target Transaction Id

Event Type Code (1..1):

- PRIO – Share Purchase Plan
- RHTS - Rights Issue

Security Code (1..1): Underlying Security Code of the Corporate Action Event Id

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

Units Allotted (1..1):

Original Quantity(0..1): Original Instructed Quantity from the Corporate Action Election.



3c Corporate Action - Refund

evnt_747 (Corporate Action Refund)

Updated

1	Corporate Action Confirmation Details	<CorpActnConfDtls>	[1..1]		
2	Option Number	<OptnNb>	[1..1]	Choice	
3	Number	<Nb>	[1..1]	text	
2	Option Type	<OptnTp>	[1..1]	Choice	
3	Code	<Cd>	[1..1]	text	
4	Exercise			EXER	
4	Oversubscribe			OVER	
2	Cash Movement Details	<CshMvmntDtls>	[0..*]		[1..1]
3	Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
4	Debit			DBIT	
3	Amount Details	<AmtDtls>	[1..1]		
4	Posting Amount	<PstngAmt>	[1..1]	0 <= decimal	T/C
4	Original Amount	<OrgnlAmt>	[0..1]	0 <= decimal	[1..1]
4	Refunded Subscription Amount	<RfnddSbcptAmt>	[0..1]	0 <= decimal	[1..1]
1	Additional Information	<AddtlInf>	[0..1]		[1..1]
2	Additional Text	<AddtlTxt>	[0..*]	text{1,350}	[1..1]
3	Scaleback			SCAL	
3	Invalid Application			INVA	
3	Overpayment			OVPY	
3	Event Cancelled			WITH	
2	Party Contact Narrative	<PtyCtctNrrtv>	[0..*]	text{1,350}	[0..1]

Corporate Action Refund: evnt_747_seev_036

Option Number (1..1): Option Number of Corporate Action Election message.

Option Type (1..1)

- **EXER** – Exercise (Rights Issue)
- **OVER** – Oversubscribe (Rights Issue)
- **SECU** – Securities (SPP)


Applied Amount (1..1) Amount of money posted to the account

Original Amount (1..1) Original Amount from Corporate Action Election message.

Refund Amount (1..1) Amount of money refunded from the original subscription for a Rights Exercise event or a Share Purchase Plan.

Scale-back or Rejection Reason (1..1)

Payment Reference (0..1)

Unique Identifier allocated to the payment  ASX instruction

3c Corporate Action - Refund

sett_133 (Funds Obligation)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Cash Obligation Report V01	<CshOblgtnRpt>			
1	Report Header	<RptHdr>	[1..1]		
2	Settlement Date	<SttlmDt>	[1..1]	Choice	
3	Date	<Dt>	[1..1]	date	
1	Settlement Account Net Position	<SttlmAcctNetPos>	[0..*]		[0..1]
2	Net Position Identification	<NetPosId>	[1..1]	text{1,35}	
2	Cash Account Owner	<CshAcctOwnc>	[0..1]		[1..1]
3	Name	<Nm>	[0..1]	text{1,140}	[1..1]
3	Identification	<Id>	[0..1]	Choice	[1..1]
2	Cash Account	<CshAcct>	[1..1]		
3	Identification	<Id>	[1..1]	Choice	
2	Amount	<Amt>	[1..1]		
3	Amount	<Amt>	[1..1]	0 <= decimal	T/C
2	Authorisation Required	<AuthstnReqrd>	[1..1]	boolean	
2	Authorisation Reason	<AuthstnRsn>	[0..1]	text{1,35}	[1..1]
3	Funds Notification			PFNO	
3	Funds Authorisation			PFAU	
3	Real Time Payment			RPNO	
3	Real Time Payment			RPAU	

Funds Obligation: sett_133_camt_089

Settlement Date (1..1): Payment Date

Transaction ID (1..1): Unique Id generated by the CSP.

Identifier of Payment Manager (1..1) UIC or BIC of the Payment Manager of the Payment Facility

Cash Account (1..1) Bank account number stored against the Payment Facility Id.

Amount (1..1) value provided in Real Time Payment Instruction Request received from sender

Authorisation Reason (1..1)

Real Time Payment Authorisation (RPAU)
Real Time Payment Notification (RPNO)

3c Corporate Action - Refund

sett_135 (Funds Obligation status Advice)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Cash Obligation Status Advice V01	<CshOblgtnStsAdv>			
1	Status Header	<StsHdr>	[1..1]		
2	Original Business Request	<OrgnlBizReq>	[1..1]		
3	Message Identification	<Msgld>	[1..1]	text{1,35}	
1	Net Position Status	<NetPosSts>	[1..*]		[1..1]
2	Net Position Identification	<NetPosId>	[1..1]	text{1,35}	
2	Cash Account	<CshAcct>	[0..1]		[1..1]
3	Identification	<Id>	[1..1]	Choice	
2	Status	<Sts>	[1..1]	text	
3	Acknowledged Accepted			PACK	
3	Rejected			REJT	
2	Account Servicer Reference	<AcctSvcrRef>	[0..1]	text{1,35}	T/C

Funds Obligation Status Advice:
sett_135_camt_089

Target Transaction ID (1..1): Transaction Id
Payment Provider Funds Obligation message

Cash Account (1..1): Bank Account number on
the Funds Obligation notification

Status (1..1) Authorisation status of the fund
obligation

3c Corporate Action - Refund

sett_137 (Funds Movement)

Lv	Name	XML Tag	Mult	Type / Cod	Restr
0	Bank To Customer Debit Credit Notification	<BkToCstmrDbtCdtNtfctn>			
1	Group Header	<GrpHdr>	[1..1]		
1	Notification	<Ntfctn>	[1..*]		[1..1]
2	Identification	<Id>	[1..1]	text{1,35}	
2	Account	<Acct>	[1..1]		
2	Entry	<Ntry>	[0..*]		[1..1]
3	Amount	<Amt>	[1..1]	0 <= decimal	T/C
3	Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
3	Status	<Sts>	[1..1]	Choice	
4	Code	<Cd>	[1..1]	text{1,4}	T/C
5	Booked			BOOK	
3	Value Date	<ValDt>	[0..1]	Choice	[1..1]
3	Account Servicer Reference	<AcctSvcrRef>	[0..1]	text{1,35}	
3	Bank Transaction Code	<BkTxCd>	[1..1]		
6	Effected Net Funds			ENFM	
6	Real Time Funds Movement			RTFM	
3	Additional Entry Information	<AddtNtryInf>	[0..1]	text{1,500}	T/C
2	Additional Notification Information	<AddtNtfctnInf>	[0..1]	text{1,500}	T/C

Funds Obligation Status Advice: sett_137_camt_054

Transaction ID (1..1): Transaction Id of Payment Provider Funds Obligation message.

Account (1..1): Bank account associated to the real time payment instruction.

Amount (1..1) Payment amount associated to the real time payment instruction.

Status (1..1): Booked

Payment Reference (0..1)

Bank Transaction Code (1..1) Real Time Funds Movement (RTFM)

Corporate Action Event Id (0..1)

Counterparty Identifier (0..1)

3d mFund redemption

Overview



What's Changing?

- Messaging will conform to the NMPG Investment Funds Australia & New Zealand Market Practice for ISO 20022 Messages Order Processing and Confirmation
- CHES R will allow Participant cancellation of the redemption without PISP authorisation before it is accepted
- Due to low usage, the “On-Hold” status will not be retained
- Consolidation into a single “Confirmation Message” the subsequent “MT802/803 Redemption Order Response” (i.e. Settlement Amount, Unit Price, Number of Units, Payment Date) and the “MT732/733 Unit Adjustment” to redeem units from the HIN
- **Important Note** – Payment for Application and Redemption Orders will occur during scheduled batch settlement

3d mFund redemption

'To-be' message consolidation table

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Request	EIS 800 - Redemption Request EIS 801 - Redemption Order Request	mfnd_407	setr_004	mFund Redemption Order Request	Participant, CSP	CSP, PISP
Status Advice	EIS 720 - Accepted Participant Request EIS 802 - Redemption Order Response EIS 803 - Effected Redemption Order Request EIS 810 - Update Order EIS 811 - Effected Update Order EIS 731 - Scheduled Settlement Payment Instruction EIS 805 - Order Cancellation request same as EIS 729 , EIS 730, EIS 740, EIS 812, EIS 822 and EIS 824	mfnd_402	setr_016	mFund Order Status Notification	PISP, CSP	CSP, Participant, PISP
Cancellation	EIS 804 - Fund Order Cancellation Request	mfnd_408	setr_005	mFund Redemption Order Cancellation Request	Participant	CSP
Cancellation Status Advice	EIS 811 - Effected Update Order	mfnd_405	setr_017	mFund Order Cancellation Status Advice	CSP	Participant
Confirmation	EIS 732 - Unit Adjustment EIS 733 - Effected Fund Unit Adjustment	mfnd_409	setr_006	mFund Redemption Order Confirmation	PISP, CSP	CSP, Participant
Acknowledgement	EIS 722 - Fund Response	comm_809	admi_007	Transaction Acknowledgement Advice	CSP	User

Consolidation: 14 unique messages were consolidated to 6 messages

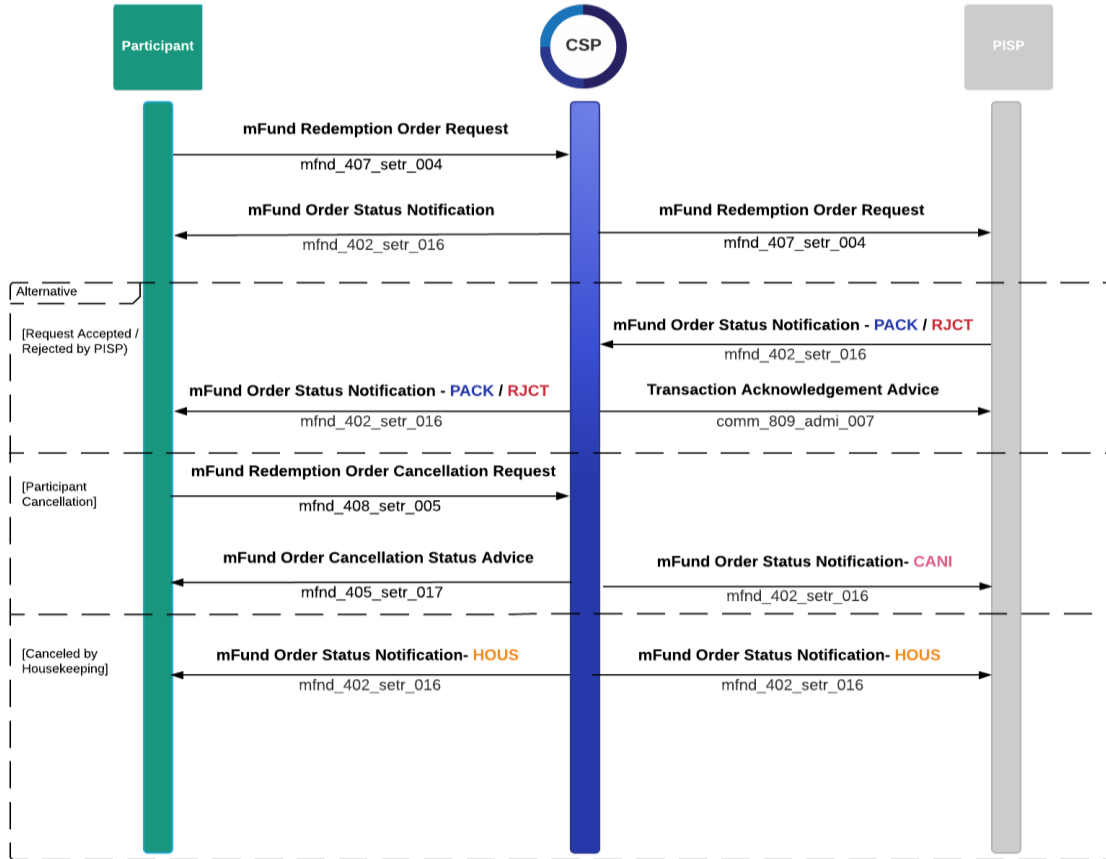
3d mFund redemption

'To-be' message consolidation table (Batch Settlement)

Message Type	Message Id	EIS	ISO 20022 base message	Message Name	From	To
Notification	sett_133	n.a. Same as EIS 310, 312	DRAFT1camt_089	Funds Obligation	CSP	Payment Provider
Notification	Sett_135	n.a. Same as EIS 311, 313	DRAFT1camt_090	Funds Obligation Status Advice	Payment Provider	CSP
Notification	sett_137	n.a. Same as EIS 170	camt_054	Funds Movement	CSP	Payment Provider
Notification	sett_170	n.a. Same as EIS 542 and EIS 362	admi_004	Event Notification	CSP	User

3d mFund Redemption

mFund Redemption flow

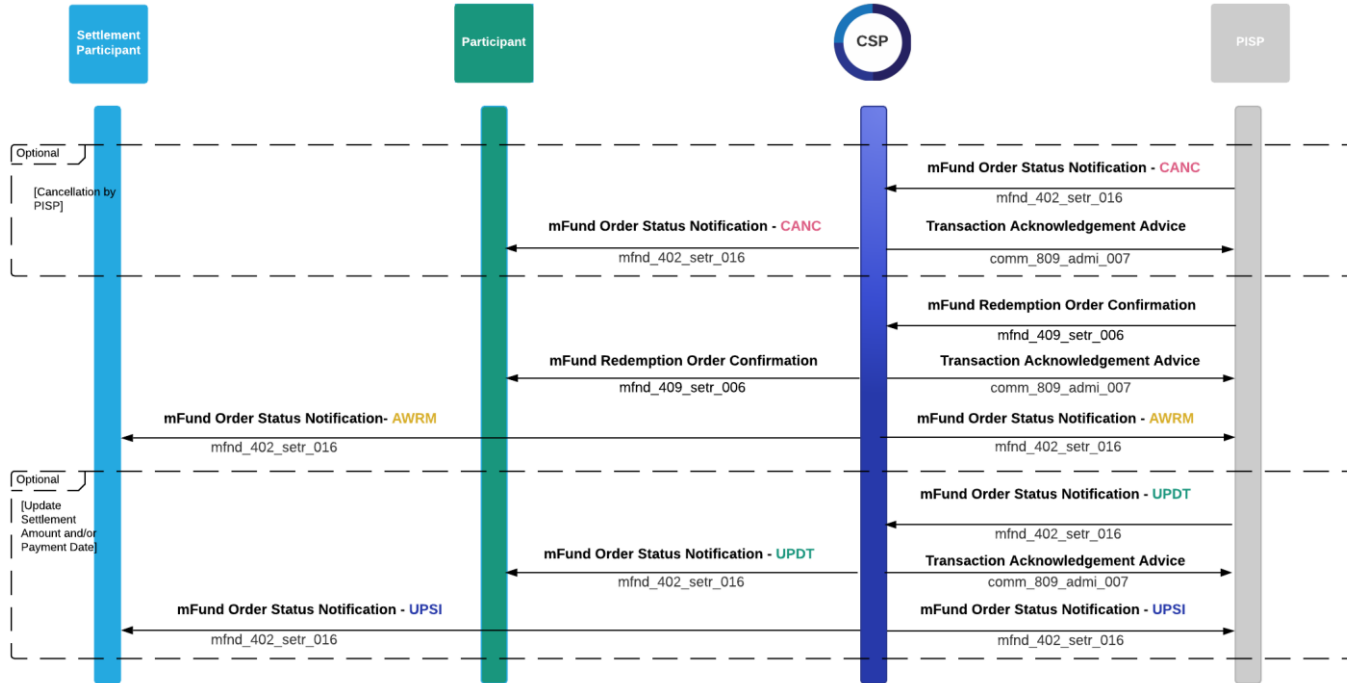


Order Status:

- **PACK:** Accepted
- **REJT/RJCT:** Rejected
- **CANI:** Participant Request
- **HOUS:** ASX Initiated Housekeeping

3d mFund Redemption

mFund Redemption flow



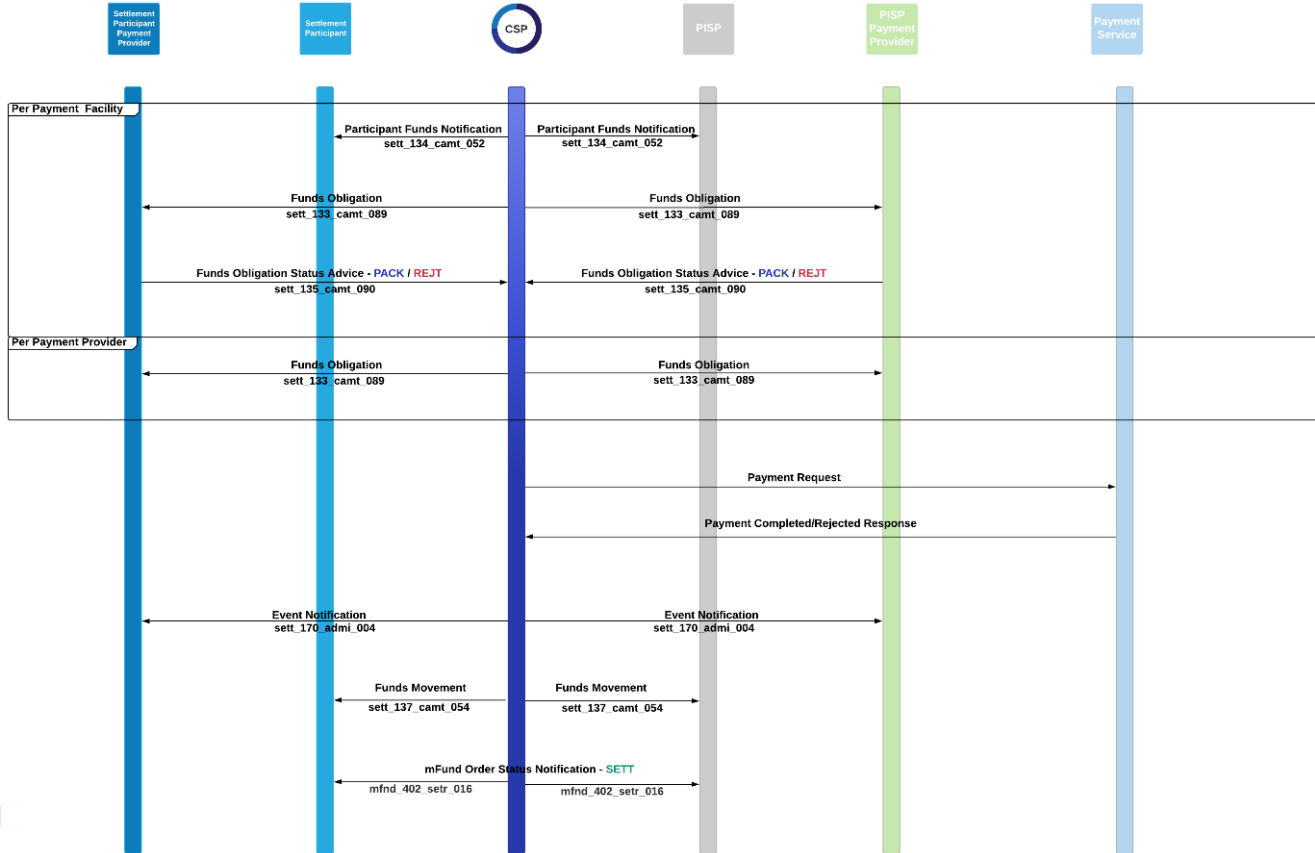
Order Status:

- **CANC:** Cancelled
- **AWRM:** Awaiting Redemption Money
- **UPDT:** Update
- **UPSI:** Updated Scheduled Payment Instruction

3d mFund Redemption

mFund Batch Settlement

Updated



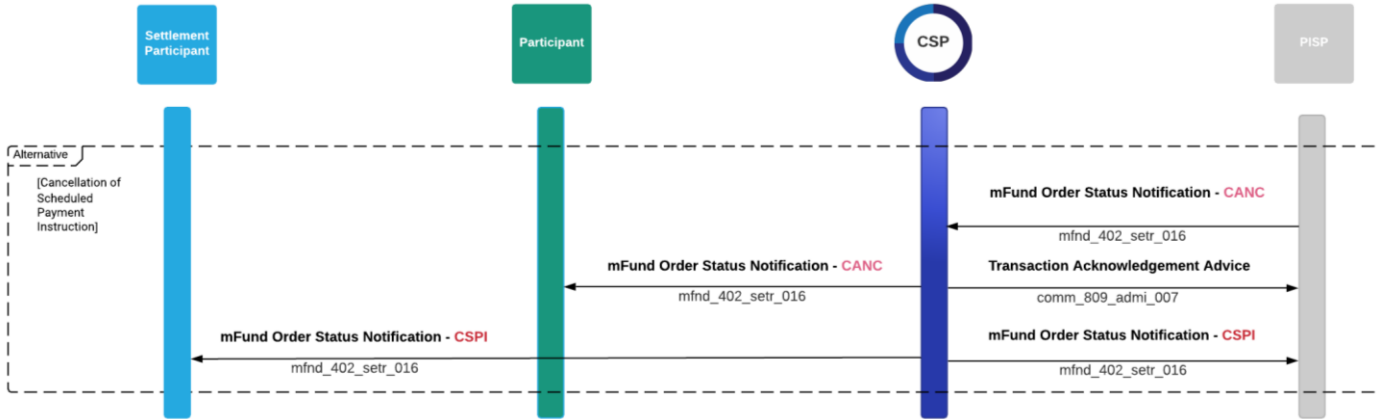
Order Status:

- SETT: Settled

3d mFund Redemption

Cancellation of Scheduled Payment Instruction

Updated



Order Status:

- **CANC:** Cancelled
- **CSPI:** Cancellation of Scheduled Payment Instruction

3d mFund redemption

mfnd_407 (mFund Redemption Order Request)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Redemption Order V04 (setr.004.001.04)	<RedOrd>			
1	Message Identification	<MsgId>	[1..1]		
2	Identification	<Id>	[1..1]	text{1,35}	
2	Creation Date Time	<CreDtTm>	[1..1]	dateTime	
1	Multiple Order Details	<MltplOrdDtls>	[1..1]		
2	Investment Account Details	<InvstmtAcctDtls>	[1..1]		
3	Account Identification	<AcctId>	[1..1]	text{1,35}	T/C
3	Owner Identification	<OwnrId>	[0..*]		[1..1]
2	Individual Order Details	<IndvOrdDtls>	[1..*]		[1..1]
3	Order Reference	<OrdRef>	[1..1]	text{1,35}	
3	Client Reference	<ClntRef>	[0..1]	text{1,35}	
3	Order Type	<OrdTp>	[0..10]	Choice COFF	[1..1]
6	Cooling Off Period			COFF	
6	Fund Unit Redemption			REDM	
3	Financial Instrument Details	<FinInstrmDtls>	[1..1]		
4	Identification	<Id>	[1..1]	Choice	
5	ISIN	<ISIN>	[1..1]	text [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}	
5	Other Proprietary Identification	<OthrPrtryId>	[1..1]		
6	Identification	<Id>	[1..1]	text{1,35}	T/C
4	Name	<Nm>	[0..1]	text{1,350}	T/C
4	Supplementary Identification	<SpIntryId>	[0..1]	text{1,35}	T/C
3	Amount Or Units Or Percentage	<AmtOrUnitsOrPctg>	[1..1]	Choice	
4	Units Number	<UnitsNb>	[1..1]	decimal td = 18 fd = 17	
4	Net Amount	<NetAmt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
5	Xml Attribute Currency	<Ccy>		text [A-Z]{3,3}	
4	Holdings Redemption Rate	<HldgsRedRate>	[1..1]	decimal td = 11 fd = 10	FV

mFund Application Redemption Request:

mfnd_407_setr_004 [EIS800, EIS801]

Account Identifier (1..1)

Requesting Participant (1..1)

Order Ref (1..1): Transaction Id

Order Type (1..1): Redemption Type

Security Code (1..1): Choice Element - Security Code Or ISIN

Security Code (0..1): only ISIN applicable.

Amount or Unit or Percentage (Choice component)

- Unit Quantity(1..1)
- Net Amount(1..1)
- Full Redemption (1..1): fixed value 100%

3d mFund redemption

mfnd_402 (mFund Order Status Notification)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Order Instruction Status Report V04 (setr.016.001.04)	<OrdInstrStsRpt>			
1	Reference	<Ref>	[0..1]	Choice	
2	Other Reference	<OthrRef>	[1..2]		
3	Reference	<Ref>	[1..1]	text{1,35}	
1	Status Report	<StsRpt>	[1..1]	Choice	
2	Individual Order Details Report	<IndvOrdDtlsRpt>	[1..*]		[1..1]
3	Order Reference	<OrdRef>	[1..1]	text{1,35}	
3	Client Reference	<ClntRef>	[0..1]	text{1,35}	
3	Deal Reference	<DealRef>	[0..1]	text{1,35}	
3	Order Status	<OrdrSts>	[1..1]	Choice	
4	Status	<Sts>	[1..1]	text	
5	Accepted			PACK	
5	Sent To Next Party			STNP	
5	Received			RECE	
5	Settled			SETT	
4	Cancelled	<Canc>	[1..1]		
5	Reason	<Rsn>	[0..1]	Choice	[1..1]
6	Proprietary	<Prtry>	[1..1]		
7	Identification	<Id>	[1..1]	text{1,35}	T/C
4	Conditionally Accepted	<CondllyAcptd>	[1..1]	Choice	
5	Reason Details	<RsnDtls>	[1..5]		[1..1]
6	Reason	<Rsn>	[1..1]	Choice	
7	Code	<Cd>	[1..1]	text	
8	Awaiting Redemption Money			AWRM	
4	Rejected	<Rjctd>	[1..10]		[1..1]
5	Reason	<Rsn>	[0..1]	Choice	[1..1]
6	Proprietary	<Prtry>	[1..1]		
7	Identification	<Id>	[1..1]	text{1,35}	T/C
4	In Repair	<InRpr>	[1..1]	Choice	
5	Reason Details	<RsnDtls>	[1..5]		[1..1]
6	Reason	<Rsn>	[1..1]	Choice	

mFund Order Status Notification: mfnd_402_setr_016

[EIS720, EIS729, EIS730, EIS731, EIS740, EIS802, EIS803, EIS 805, EIS810, EIS811, EIS812, EIS822]

Other Ref (0..1): Net Fund Transaction Id

Order Ref (1..1): Transaction Id

Order Status (1..1):

Accepted: Upon Acceptance by PISP

Sent to Next Party: Upon successful validations by CSP

*Received: Only for Application before the Investor Data is sent

Settled: Upon successful funds movement

Cancelled: Reason

Awaiting: Awaiting Redemption Money

Rejected: Upon order rejection by the PISP

In Repair:

Reason: Update

Updated Schedule Payment Instruction



3d mFund redemption

mfnd_402 (mFund Order Status Notification)

Lvl	Name	XML Tag	Mult	Type / Code	Restr	Change Filter
3	Order Data	<OrdrData>	[0..1]		[1..1]	Yes
4	Investment Account Details	<InvstmtAcctDtls>	[0..1]			Yes
5	Account Identification	<AcctId>	[1..1]	text{1,35}	T/C	Yes
5	Owner Identification	<OwnrId>	[0..*]		[1..1]	Yes
4	Financial Instrument Details	<FinInstrmDtls>	[0..1]		[1..1]	Yes
5	Identification	<Id>	[1..1]	Choice		Yes
6	ISIN	<ISIN>	[1..1]	text [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}		
6	Other Proprietary Identification	<OthrPrtryId>	[1..1]			Yes
5	Name	<Nm>	[0..1]	text{1,350}	T/C	Yes
5	Supplementary Identification	<SplmtryId>	[0..1]	text{1,35}	T/C	Yes
4	Units Number	<UnitsNb>	[0..1]	decimal td = 18 fd = 17		Yes
4	Net Amount	<NetAmt>	[0..1]	0 <= decimal td = 18 fd = 5	T/C	Yes
4	Holdings Redemption Rate	<HldgsRedRate>	[0..1]	decimal td = 11 fd = 10	FV	Yes
4	Settlement Amount	<SttlmAmt>	[0..1]	0 <= decimal td = 18 fd = 5	T/C	Yes
3	New Details	<NewDtls>	[0..1]			Yes
4	Expected Trade Date Time	<XpctdTradDtTm>	[0..1]	Choice		Yes
5	Date	<Dt>	[1..1]	date		Yes
4	Expected Cash Settlement Date	<XpctdCshSttlmDt>	[0..1]	date		Yes

mFund Order Status Notification:

mfnd_402_setr_016 [EIS720, EIS729, EIS730, EIS731, EIS740, EIS802, EIS803, EIS 805, EIS810, EIS811, EIS812, EIS822]

Account Identifier (1..1)

Requesting Participant (1..1)

Security Code (1..1): Choice Element - Security Code Or ISIN

APIR Code (0..1)

Security Code (0..1): only ISIN applicable

Unit Quantity (0..1)

Net Amount (0..1)

Full Redemption (0..1): fixed value 100%

Settlement Amount (1..1): Dollar value of a fund transaction

Unit Pricing Date (0..1): Date on which the PISP will price Fund units for the Order Request

Payment Date (0..1): Date of the payment for the Order Request

3d mFund redemption

mfnd_402 (mFund Order Status Notification)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
1	Extension	<Xtnsn>	[0..*]		
1	Payer		[0..1]		A
1	Total Reminder Count		[0..1]		A
1	Payee		[0..1]		A
1	Payment Facility Id		[0..1]		A
1	Unit Allotment Date		[0..1]		A
2	Place And Name	<PlcAndNm>	[1..1]	text{1,350}	(A) FV T/C
3	Unit Allotment Date			UNAD	(A)
2	Text	<Txt>	[1..1]	text{1,350}	(A) T/C

mFund Order Status Notification:

mfnd_402_setr_016 [EIS720, EIS729, EIS730, EIS731, EIS740, EIS802, EIS803, EIS 805, EIS810, EIS811, EIS812, EIS822]

Payer (0..1): mFund Settlement Actor who is the Payer of the funds

Total Reminder Count (0..1): Number of business days between Current Date and Unit Allotment Date

Payee (0..1): mFund PISP Actor who is the Payee of the funds

Payment Facility Id (0..1): Id of Real Time Payment Facility

Unit Allotment Date (0..1): Date on which a PISP will allot Fund units

Extension:

Place and Name <PlcAndNm>

Text <Txt>

3d mFund redemption

mfnd_408 (mFund Redemption Order Cancellation Request)

mFund Redemption Order Cancellation Request:

mfnd_408_setr_005 [EIS804]

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Redemption Order Cancellation Request V04 (setr.005.001.04)	<RedOrdrCxlReq>			
1	Message Identification	<MsgId>	[1..1]		
2	Identification	<Id>	[1..1]	text{1,35}	
2	Creation Date Time	<CreDtTm>	[1..1]	dateTime	
1	Order References	<OrdrRefs>	[1..*]		[1..1]
2	Order Reference	<OrdrRef>	[1..1]	text{1,35}	
2	Cancellation Reason	<CxlRsn>	[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	

Order Ref (1..1): Transaction Id

Cancellation Reason (1..1): "Participant Request" (CANI)

3d mFund redemption

mfnd_405 (mFund Order Cancellation Status Advice)

Lvl	Name	XML Tag	Mult	Type / Cod	Restr
0	Order Cancellation Status Report V04	<OrdrCxlStsRpt>			
1	Message Identification	<MsgId>	[1..1]		
2	Identification	<Id>	[1..1]	text{1,35}	
1	Status Report	<StsRpt>	[1..1]	Choice	
2	Individual Cancellation Status Report	<IndvCxlStsRpt>	[1..*]		[1..1]
3	Order Reference	<OrdrRef>	[1..1]	text{1,35}	
3	Cancellation Status	<CxlSts>	[1..1]	Choice	
4	Status	<Sts>	[1..1]	text	
5	Cancellation Completed			CAND	
3	Investment Account Details	<InvstmtAcctDtls>	[0..1]		[1..1]
4	Account Identification	<AcctId>	[1..1]	text{1,35}	T/C
3	Financial Instrument Details	<FinInstrmDtls>	[0..1]		[1..1]
4	Identification	<Id>	[1..1]	Choice	
5	Other Proprietary Identification	<OthrPrtryId>	[1..1]		
6	Identification	<Id>	[1..1]	text{1,35}	T/C
6	Identification Source	<IdSrc>	[1..1]	Choice	
7	Proprietary	<Prtry>	[1..1]	text{1,35}	T/C
8	XASX			XASX	
4	Supplementary Identification	<SplmtryId>	[0..1]	text{1,35}	[1..1] T/C

mFund Order Cancellation Status Advice:

mfnd_405_setr_017 [EIS811]

Order Ref (1..1): Transaction Id

Cancellation Status (1..1): "Cancellation Completed" (CAND)

Account Identifier (1..1)

Security Code (1..1)

3d mFund redemption

mfnd_409 (mFund Redemption Order Confirmation)

mFund Redemption Order Confirmation:

mfnd_409_setr_006 [EIS732, EIS733, EIS802, EIS803]

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Redemption Order Confirmation V04 (setr.006.001.04)	<RedOrdConf>			
1	Multiple Execution Details	<MltpExctnDtls>	[1..1]		
2	Investment Account Details	<InvstmtAcctDtls>	[1..1]		
3	Account Identification	<AcctId>	[1..1]	text{1,35}	T/C
3	Owner Identification	<OwnrId>	[0..*]		[0..1]
2	Individual Execution Details	<IndvExctnDtls>	[1..*]		[1..1]
3	Order Reference	<OrdRef>	[1..1]	text{1,35}	
3	Client Reference	<ClntRef>	[0..1]	text{1,35}	
3	Deal Reference	<DealRef>	[1..1]	text{1,35}	
3	Financial Instrument Details	<FinInstrmDtls>	[1..1]		
4	Identification	<Id>	[1..1]	Choice	
5	ISIN	<ISIN>	[1..1]	text [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}	
5	Other Proprietary Identification	<OthrPrtryId>	[1..1]		
4	Name	<Nm>	[0..1]	text{1,350}	T/C
4	Supplementary Identification	<SplmtryId>	[0..1]	text{1,35}	T/C
3	Units Number	<UnitsNb>	[1..1]	decimal td = 18 fd = 17	T/C
3	Net Amount	<NetAmt>	[0..1]	0 <= decimal td = 18 fd = 5	T/C
3	Holdings Redemption Rate	<HldgsRedRate>	[0..1]	decimal td = 11 fd = 10	FV

Account Identifier (1..1)

Requesting Participant (1..1)

Order Ref (1..1): Transaction Id

Security Code (1..1): Choice Element - Security Code Or ISIN

APIR code (0..1)

Security Code (0..1): only ISIN applicable.

Unit Quantity(1..1)

Net Amount(0..1)

Full Redemption (0..1): fixed value 100%

3d mFund redemption

mfn_d_409 (mFund Redemption Order Confirmation)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
3	Trade Date Time	<TradDtTm>	[1..1]	Choice	
4	Date	<Dt>	[1..1]	date	
3	Dealing Price Details	<DealgPricDtls>	[1..1]		
4	Type	<Tp>	[1..1]	Choice	
5	Code	<Cd>	[1..1]	text	
6	Bid			BIDE	
6	Net Asset Value			NAVL	
4	Value	<Val>	[1..1]		
5	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 13	T/C
3	Settlement Amount	<SttlmAmt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
3	Cash Settlement Date	<CshSttlmDt>	[0..1]	date	[1..1]
3	Partially Executed Indicator	<PrtylExctdInd>	[1..1]	boolean	FV
3	Transaction Overhead	<TxOvrhd>	[0..1]		
4	Total Fees	<TtlFees>	[0..1]	0 <= decimal td = 18 fd = 5	T/C
5	Xml Attribute Currency	<Ccy>		text [A-Z]{3,3}	
3	Non Standard Settlement Information	<NonStdSttlmInf>	[0..1]	text{1,350}	T/C
1	extension	<Xtnsn>	[0..*]		
2	Place And Name	<PlcAndNm>	[1..1]	text{1,350}	T/C
3	Holding Balance			HOLB	
2	Text	<Txt>	[1..1]	text{1,350}	
1	Holding Balance		[0..1]		A
2	Place And Name	<PlcAndNm>	[1..1]	text{1,350}	(A) T/C
3	Holding Balance			HOLB	(A)
2	Text	<Txt>	[1..1]	text{1,350}	(A) T/C

mFund Redemption Order Confirmation: mfn_d_409_setr_006 [EIS732, EIS733, EIS802, EIS803]

Unit Pricing Date (1..1): The date at which the fund units redeemed are priced.

Unit Price Type (1..1): Bid or Net Asset Value

*The values available to be populated are as per guidelines in SMPG Market Practice in Australia for Order and Confirmation Processing.

Unit Price (1..1): The price of each fund unit redeemed

Settlement Amount (1..1): The dollar value of a fund transaction in CSP

Payment Date (1..1): The date at which the cash settlement leg should be scheduled to occur.

Fee (0..1): The total fee that is to be levied for the redemption of units

Confirmation Reason (0..1)

Holding Balance (0..1): The Holding Balance of the Account (HIN) for the Security after the mFund redemption confirmation was processed.

3e 'To-be' messages for review

To-be Messages	Collections
evnt_747	draft_evnt
sett_133	draft_sett
sett_135	draft_sett
sett_137	draft_sett
sett_170	draft_sett
mfnd_402	draft_mfnd
mfnd_405	draft_mfnd
mfnd_407	draft_mfnd
mfnd_408	draft_mfnd
mfnd_409	draft_mfnd
Comm_809	draft_comm

MyStandards 'to-be' documentation

Community: ASX ISO 2022 Technical Committee

Collection: ASX_AU_CHS_draft_mfnd
ASX_AU_CHS_draft_evnt
ASX_AU_CHS_draft_sett
ASX_AU_CHS_draft_comm

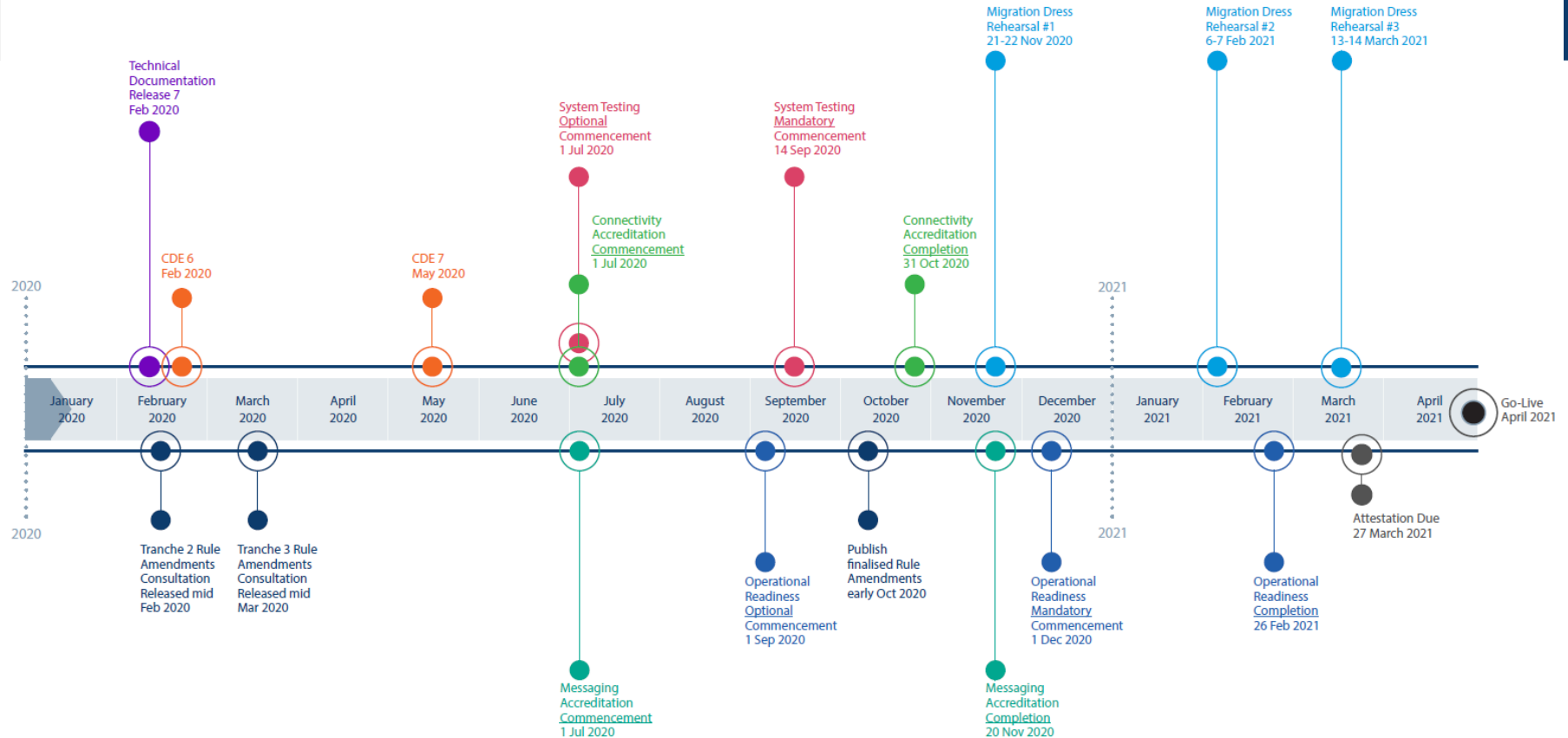
Further details (attached to Message Definitions in MyStandards)

- 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 **11 February 2020** 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:
 - Corporate actions
 - mFund settlement
 - mFund redemptions
 - Payment interface

- > 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 2022 Stream – Message Status

As at end December 2019		Technical Documentation (6 releases)		Additional drafts provided to Technical Committee ahead of future Technical Documentation releases		Total messages published in Technical Documentation and provided to Technical Committee		Total CHES messages mapped (covering messages released in Technical Documentation, provided to the Technical Committee and to be descope)	
ISO 2022 Business Area	Total # CHES "as-is" messages in scope	# CHES messages mapped	Equivalent # ISO 2022 messages finalised	# CHES messages mapped	Equivalent # ISO 2022 messages drafted	# CHES messages mapped	Equivalent # ISO 2022 messages	*# CHES message candidates for descope	# CHES messages mapped incl. descope
Account management (acct)	53	12	6	16	3	28	9	1	29
Operations Admin (adm)	11	1	1	1	1	2	2		2
Common (comm)	2	11	4			11	4		11
RTGS (gset)	60					0	0	60	60
Holding movement (hold)	37	82	24	2	1	84	25	1	85
mFund Service (mfnd)	85			24	9	24	9	43	67
Pledge and Lodge Management (pldg)	85	39	6			39	6	14	53
Reporting (rptg)	36					0	0	8	8
Settlement (sett)	51	40	29	3	2	43	31	1	44
Corporate Actions (evnt)		20	4	5	1	25	5		25
Total	420	205	74	51	17	256	91	128	384
% equivalent CHES "as-is" messages delivered		48.81%		12.14%		60.95%			91.43%

More details:

EIS to ISO 2022 Cross Reference Guide: <https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/pages/23233827/ISO+2022+Messaging+-+TM+-+EIS+to+ISO+2022+Cross+Reference+Guide>

Business Message Parameters: <https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/pages/56819816/ISO+2022+Messaging+-+TM+-+Business+Message+Parameters>

4c Update from Business Committee

5. Closing

5 Closing and next meeting

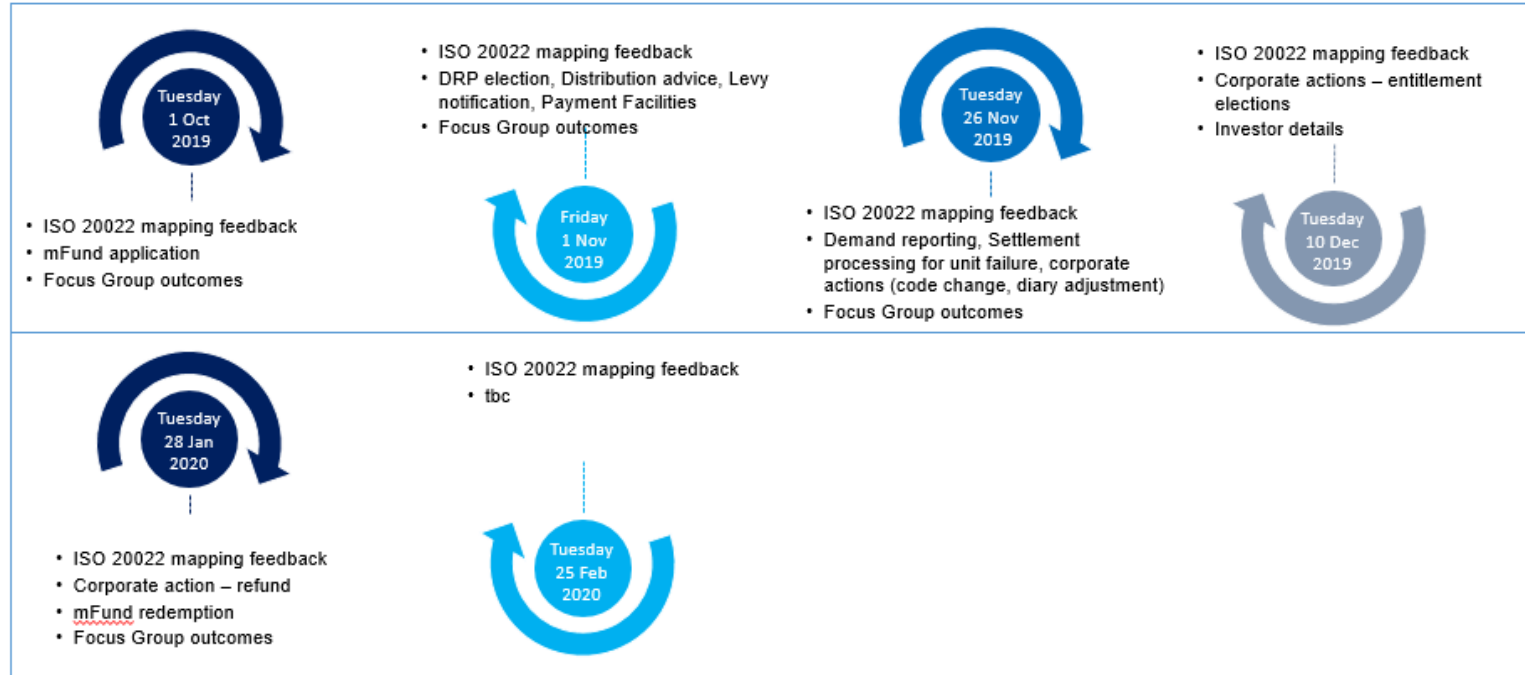
- > Noted actions from this meeting
- > Draft minutes from this meeting will be distributed for review
- > Next meeting to be held Tuesday 25 February 2020 – Sydney, webinar; proposed topics tbc
- > Forward meeting plan – see next page

More information on CHESSE Replacement & Technical Committee documents:

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

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

5 Closing and forward meeting plan



Thank you.

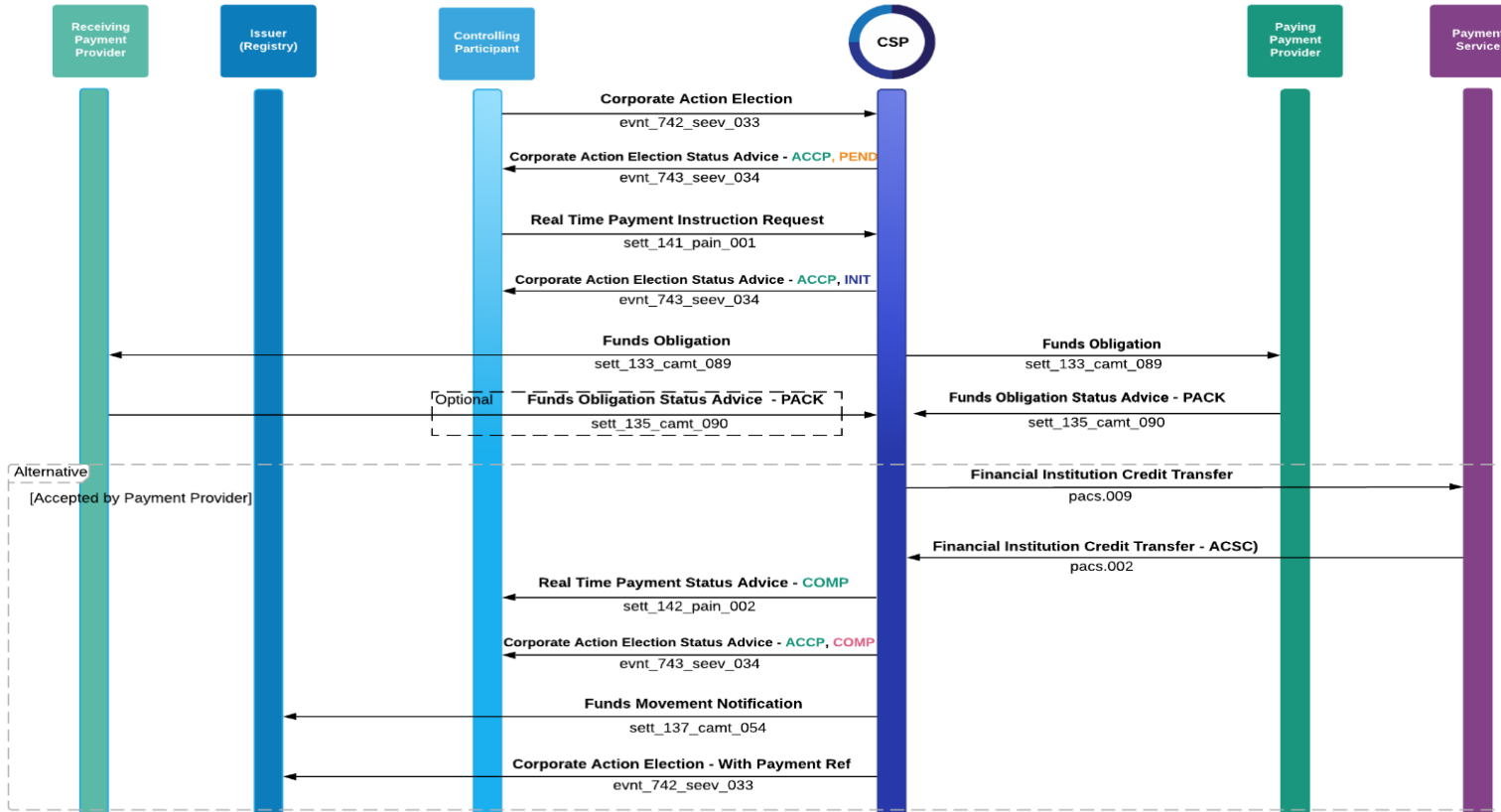
Appendix

Updated

Entitlement Election

Entitlement Election Participant Initiated - Accepted

Updated



Entitlement Election

Alternative Flows

Updated

