

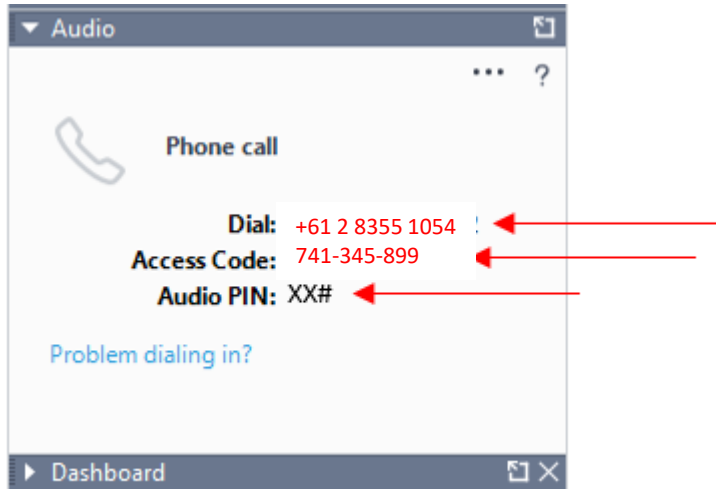


ISO 20022 Technical Committee Meeting

25 February 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 Review of member feedback on published 'to-be' messages

3b Reporting

3c Change of controlling participant notifications

3d Isolate counterparty

3e Account cancellation

3f Updates to account creation for migration purposes

3g Payment provider – fund transfer

3h Updates to BAH to include Business Date

3i 'To-be' messages for review

4. Standing agenda items:

4a CHES Replacement project update by ASX

4b ISO 2022 project update by ASX

4c Update from Business Committee

5. Closing

4b ISO 2022 Stream – Message Status

As at end February 2020		Technical Documentation (7 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 descoped)	
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 descop	# CHES messages mapped incl. descoped
Account management (acct)	53	29	9			29	9	1	30
Operations Admin (admn)	11	2	2			2	2		2
Common (comm)	2	11	4			11	4		11
RTGS (gset)	60							60	60
Holding movement (hold)	37	88	25			88	25	1	89
mFund Service (mfnd)	85	19	8			19	8	43	62
Pledge and Lodge Management (pldg)	85	40	6			40	6	14	54
Reporting (rptg)	36			12	6	12	6	19	31
Settlement (sett)	51	41	32	2		43	32	1	44
Corporate Actions (evnt)		27	5			27	5		27
Total	420	257	91	14	6	271	97	139	410
% equivalent CHES "as-is" messages delivered		61.19%		3.33%		64.52%			97.62%

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>

2. Minutes and actions

Minutes for 28 January 2020 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
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. At 28 January meeting ASX agreed it would consult with payment providers whether they did want the message housekept or rolled over to the next day (assuming the next day was before applications close day). ASX also agreed it would consider whether the 4.30pm cut-off for corporation action refunds is necessary (or could be operationally received and scheduled for a future date).	ASX	25 Feb 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	25 Feb 2020	
109	28 Jan 2020	ASX to consider making the Cum Entitlement Balance (CEB) reports available on an unsolicited basis for share registries, and on an on-demand basis for participants.	ASX	25 Feb 2020	
110	28 Jan 2020	ASX to consider whether and if so, how to provide greater visibility for a registry re CHES Transaction ID used in a corporate action entitlement to verify that a holder acquired the rights being accepted on.	ASX	25 Feb 2020	

3. Matters for consideration

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

Messages shared during Technical Committee on 28 January 2020:

- **Corporate Action - refund**
 - Comments on 5 guidelines by 2 members (1 Vendor, 1 Participant)
 - Total of 7 comments received
- **mFund redemptions**
 - No review comments on 5 guidelines

3b Projected reporting

- CHES currently provides reports on the morning of settlement ('S') pertaining to projections:
 - EIS 300 – Participant Funds Notification
 - EIS 302 – Payment Provider Funds Notification
 - EIS 148 – Projected Cum Entitlement Position
 - EIS 150 – Projected Funds Obligation
 - EIS 152 – Projected Holding Position

- These only provide advice to the extent that settlement instructions have been scheduled into the system for a given settlement date. If settlement instructions are received between 'S' start of day and actual batch settlement, the numbers are instantly out of date:
 - 17% of instructions scheduled for a given cycle are received after 'S' start of day
 - 1% of cash values are on instructions received after 'S' start of day
 - 13% of unit values are on instructions received after 'S' start of day

- Given instructions are routinely scheduled after 'S' start of day, and back-office applications routinely calculate projected positions as an ongoing concern, [ASX is seeking feedback from this committee on its proposal that these reports are decommissioned in the replacement application.](#)

3b Demand reporting

'To-be' message consolidation table

Report Type	Report Id	Report Id (to-be)	EIS number Request	ISO 20022 Request	ASX message Id Request	EIS number Response	ISO 20022 Base Message	ASX message Id Response
ad-hoc	HBL	HBAL (HoldingBalance)	503	semr_021	rptg_601 Holding Balance Reporting Request	508	semr_002	rptg_604 Holding Balance Report
			503			522		
			503			803		
ad-hoc	HSB	HSBL (HoldingSubpositionBalance)	503			502		
ad-hoc/ EOD	CEB	CEBL (CumEntitlementBalance)	503			504		
			503			520		
EOD	TSB	TSBL (TotalSecurityBalance)	503			532		
			503	833				
EOD	TCB	TCEB (TotalCumEntitlementBalance)	503	524				
EOD/ ad-hoc	HMV	HMVT (HoldingMovement)	503	510	semr_017	831	rptg_605 Net Movement Report	
EOD/ ad-hoc	CMV	CEMV (CumEntitlementMovement)	503	506				
ad-hoc	HRD	Holder Details	503	acmr_004	rptg_602 Account Notification Reporting Request	512	acmr_002	acmr_002 Account Notification
ad-hoc	HLD	Holding Registration Details	503			222		
ad-hoc	CFB	CFBL (Counterparty Funds Balance)	503	camr_060	rptg_603 Counterparty Funds Balance Reporting Request	158	camr_052	rptg_606 Participant Counterparty Balance Report

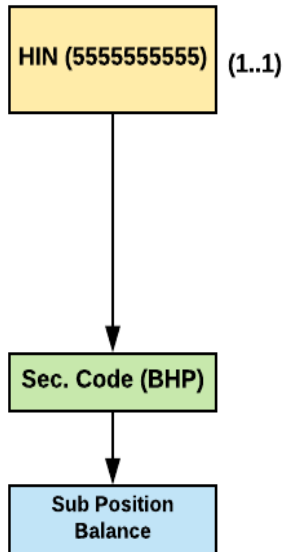
3b Demand reporting

Message Breakdown (current)

Parameters

Reporting Id:	HSBL
Account Identifier (HIN):	22222
Security Code:	BHP
Sub position Type:	M

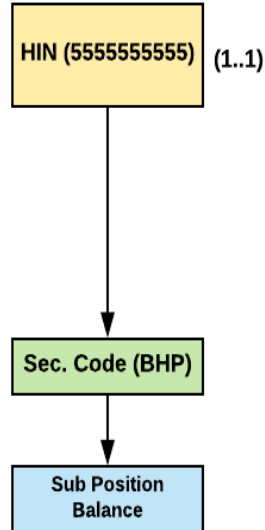
Message 1 [502]



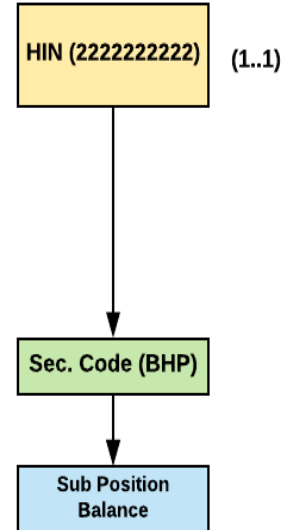
Parameters

Reporting Id:	HSBL
Account Identifier (HIN):	"All"
Security Code:	BHP
Sub position Type:	"All"

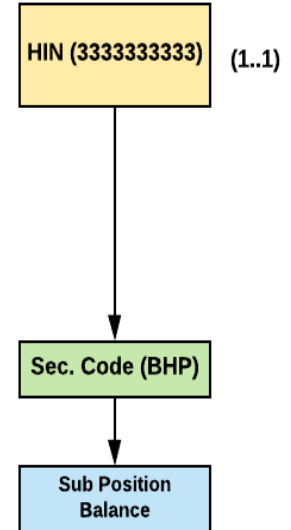
Message 1 [502]



Message 2 [502]



Message 3 [502]



3b Demand reporting

Message Breakdown (to-be)

Parameters

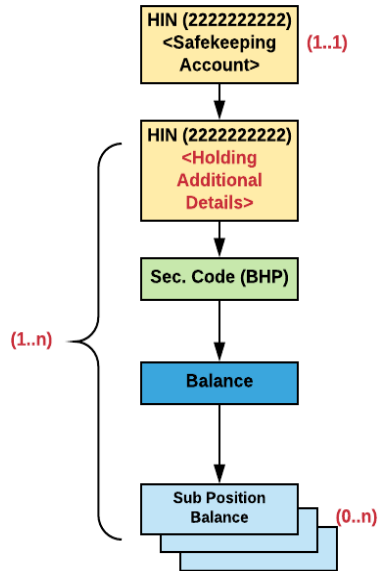
Reporting Id:

Account Identifier (HIN):

Security Code:

Sub position Type:

Message 1 [rptg_604]



Parameters

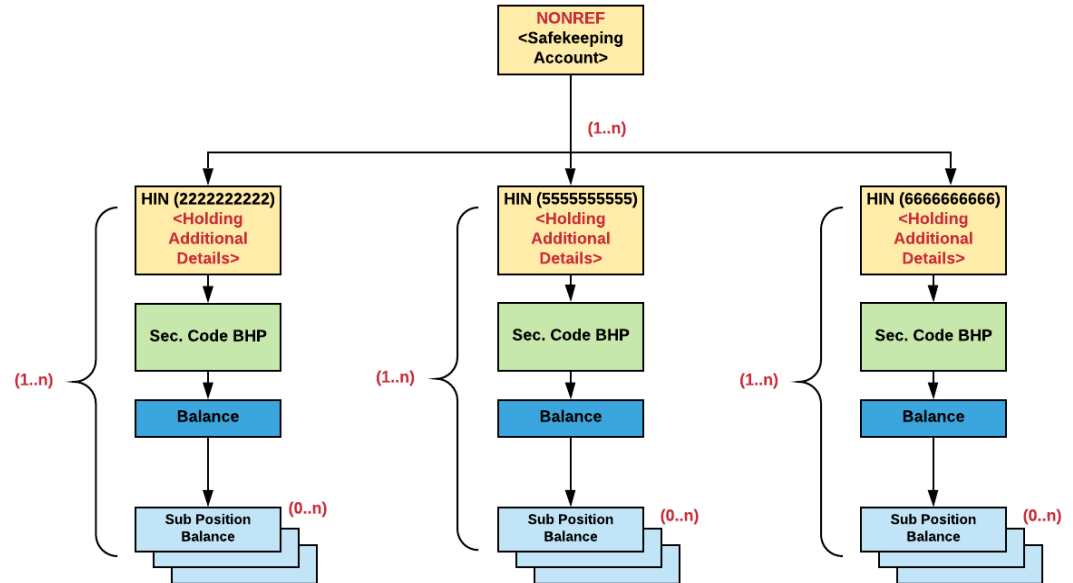
Reporting Id:

Account Identifier (HIN):

Security Code:

Sub position Type:

Message 1 [rptg_604]



3b Demand reporting

rptg_601_semt_021 (Holding Balance Reporting Request)

ASX Element Name	Restr	ISO20022 Element	Guidelines		
Reporting Id	(1..1)	StatementGeneralDetails/StatementType/Proprietary/Identification	<table border="1"> <tr> <td>CEBL (CumEntitlementBalance) CEMV (CumEntitlementMovement) HBAL (HoldingBalance) HMVT (HoldingMovement)</td> <td>HSBL (HoldingSubpositionBalance) TCEB (TotalCumEntitlementBalance) TSBL (TotalSecurityBalance)</td> </tr> </table>	CEBL (CumEntitlementBalance) CEMV (CumEntitlementMovement) HBAL (HoldingBalance) HMVT (HoldingMovement)	HSBL (HoldingSubpositionBalance) TCEB (TotalCumEntitlementBalance) TSBL (TotalSecurityBalance)
CEBL (CumEntitlementBalance) CEMV (CumEntitlementMovement) HBAL (HoldingBalance) HMVT (HoldingMovement)	HSBL (HoldingSubpositionBalance) TCEB (TotalCumEntitlementBalance) TSBL (TotalSecurityBalance)				
As At Date	(0..1)	StatementGeneralDetails/StatementDateOrPeriod/StatementDate	<ol style="list-style-type: none"> Can be optionally populated only for 'CEBL' - CumEntitlementBalance; and 'HBAL' - HoldingBalance. When field is not populated then the query applies to the current holding balances. When field is populated with the current date when the query applies to the holding balances at the end of the current day - 'EOD' (EndOfDay). 		
Start Date End Date	(0..1)	StatementGeneralDetails/StatementDateOrPeriod/Statement Period	Can be optionally populated for only 'CEMV' – CumEntitlementMovement and 'HMVT' - HoldingMovement.		
Account Identifier (HIN)	(1..1)	SafekeepingAccount/Identification	<ol style="list-style-type: none"> Must be populated with 'NONREF' when the Reporting Id is 'TCEB' – TotalCumEntitlementBalance or 'TSBL' - TotalSecurityBalance. Is populated with 'ALL' when query applies to All Account Identifiers associated with a selected security code. 		
Subposition Type	(0..1)	AdditionalQueryParameters/Reason/GeneratedReason	<ol style="list-style-type: none"> Can be optionally populated only for 'HSBL' - HoldingSubpositionBalance. If field is not populated then the query applies to All available subposition types 		
Security Code/ ISIN	(0..1)	AdditionalQueryParameters/FinancialInstrumentIdentification/ISIN Or AdditionalQueryParameters/FinancialInstrumentIdentification/OtherIdentification			
Ex Date	(0..1)	Additional Request Parameters/ExDateParameter	<ol style="list-style-type: none"> Can be optionally populated only for 'CEBL' – CumEntitlementBalance or 'TCEB' - TotalCumEntitlementBalance; When field is not provided then the query applies to All current Corporate Actions 		
Basis Of Movement	(0..1)	AdditionalQueryParameters/Status/CorporateActionEventStage			
Corporate Action Identification	(0..1)	Additional Request Parameters/ Corporate Action Event Identification			

3b Demand reporting

rptg_604_semt_002 (Securities Balance Report)

rptg_604_semt_002: [HBAL, HSBL, CEBL, TSBL and TCEB]

L#	Name	XML Tag	Mult	Type / Code	Rest
0	Securities Balance Custody Report V10 (semt.002.001.10)	<SctiesBalCtdyRpt>			
1	Pagination	<Pgntn>	[1..1]		
2	Page Number	<PgNb>	[1..1]	text [0-9]{1,5}	
2	Last Page Indicator	<LastPgInd>	[1..1]	boolean	
1	Statement General Details	<StmntGnlDtls>	[1..1]		
2	Query Reference	<QryRef>	[0..1]	text{1,35}	[1..1]
2	Statement Identification	<StmntId>	[0..1]	text{1,35}	T/C
3	Cum Entitlement Balance			CEBL	
3	Holding Balance			HBAL	
3	Holding Subposition Balance			HSBL	
3	Total Cum Entitlement Balance			TCEB	
3	Total Security Balance			TSBL	
2	Statement Date Time	<StmntDtTm>	[1..1]	Choice	
3	Date	<Dt>	[1..1]	date	
2	Frequency	<Frqcy>	[1..1]	Choice	
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
5	Adhoc			ADHO	
5	End Of Day			EDAY	
2	Statement Basis	<StmntBsis>	[1..1]	Choice	
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
5	Reporting			RPTG	
5	Change Of Controlling Participant			COCP	

→ **Pagination (1..1)**

→ **Transaction Id (1..1)**

→ **Reporting Id (1..1)**

- CEBL (CumEntitlementBalance)
- HBAL (HoldingBalance)
- HSBL (HoldingSubpositionBalance)
- TCEB (TotalCumEntitlementBalance)
- TSBL (TotalSecurityBalance)

→ **Frequency(1..1):** Identifies If the process is ad-hoc or End Of Day.

→ **Advice Reason:**

- RPTG (Reporting)
- COCP (ChangeOfControllingParticipant)

3b Demand reporting

rptg_604_semt_002 (Holding Balance Report)

L1	Name	XML Tag	Mult	Type / Code	Restr
1	Safekeeping Account	<SfkggAcct>	[1..1]		
2	Identification	<id>	[1..1]	text{1,35}	T/C
1	Balance For Account	<BalForAcct>	[0..*]		[1..*]
2	Financial Instrument Identification	<FinInstrmId>	[1..1]		
3	ISIN	<ISIN>	[0..1]	text [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}	[1..1]
3	Other Identification	<Othrid>	[0..*]		[1..1]
3	Description	<Desc>	[0..1]	text{1,140}	T/C
2	Financial Instrument Attributes	<FinInstrmAttrbts>	[0..1]		
3	Financial Instrument Attribute Additional Details	<FinInstrmAttrAddtlDtls>	[0..1]	text{1,350}	T/C
2	Aggregate Balance	<AggtBal>	[1..1]		
3	Quantity	<Qty>	[1..1]	Choice	
4	Quantity	<Qty>	[1..1]	Choice	
5	Quantity	<Qty>	[1..1]	Choice	
6	Unit	<Unit>	[1..1]	decimal td = 18 fd = 17	
2	Balance Breakdown	<BalBrkdown>	[0..*]		
3	Sub Balance Type	<SubBalTp>	[1..1]	Choice	
4	Proprietary Identification	<PrtryId>	[1..1]	text [a-zA-Z0-9]{4}	T/C
3	Quantity	<Qty>	[1..1]		
4	Short Long Indicator	<ShrtLngInd>	[0..1]	text SHOR LONG	[1..1]
5	Quantity	<Qty>	[1..1]	Choice	
5	Quantity	<Qty>	[1..1]	Choice	
6	Unit	<Unit>	[1..1]	decimal td = 18 fd = 17	
3	Sub Balance Additional Details	<SubBalAddtlDtls>	[0..1]	text{1,140}	T/C
2	Holding Additional Details	<HldgAddtlDtls>	[0..1]	text{1,350}	[1..1] T/C

Account Identifier (1..1): outside of the repeating group

- NONREF when more than 1 HIN (1..*)
- Value when 1 HIN (1..1)

Beginning of the repeating group (1..*)

Security Code (1..1)

ISIN (1..1)

APIR Code (0..1)

Corporate Actions Identification (0..1): CEBL and TCEB (0..1)

* Basis of Movement and Ex Date will not be populated in rptg_604 only in the request rptg_601.

Unit Quantity (1..1): Aggregate Balance

- Current or Closing Balance (HBAL and HSBL)
- Total Units held on the CSP Subregister (TSBL)
- Current or Closing Cum Entitlement Balance (CEBL)
- Total Cum Entitlement Balance (TCEB)

Sub Balance(0..*): Balance Breakdown

✓ **Supposition Type (1..1)**

✓ **Sub Position Quantity (1..1)**

✓ **Corporate Action Option Identifier (0..1)**

Corporate action Event id (up to 9 characters) followed by the Option Number (Exact3NumericText) and the Option Type Code (4 character code).

Account Identifier (1..1): inside of the repeating group 

- NONREF when TCEB or TSBL

3b Demand reporting

rptg_605_semt_017 (Net Movement Report)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Securities Transaction Posting Report V07 (semt.017.001.07)	<SciesTxPstngRpt>			
1	Pagination	<Pgntn>	[1..1]		
2	Page Number	<PgNb>	[1..1]	text [0-9]{1,5}	
2	Last Page Indicator	<LastPgInd>	[1..1]	boolean	
1	Statement General Details	<StmntGnlDtls>	[1..1]		
2	Query Reference	<QryRef>	[0..1]	text{1,35}	[1..1]
2	Statement Identification	<StmntId>	[0..1]	text{1,35}	[1..1] T/C
3	Cum Entitlement Movement			CEMV	
3	Holding Movement			HMVT	
2	Frequency	<Frqcy>	[0..1]	Choice	[1..1]
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
5	Adhoc			ADHO	
5	End Of Day			EDAY	
1	Safekeeping Account	<SfkgAcct>	[1..1]		
2	Identification	<Id>	[1..1]	text{1,35}	T/C

rptg_605_semt_017: [HMVT, CEMV]

Pagination (1..1)

Transaction Id (1..1)

Reporting Id (1..1)

- CEMV (CumEntitlementMovement)
- HMVT (HoldingMovement)

Frequency(1..1):

- ad-hoc
- End Of Day

Account Identifier (HIN)

- NONREF when more than 1 HIN (1..*)
- Value when 1 HIN (1..1)

3b Demand reporting

rptg_605_semt_017 (Net Movement Report)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Securities Transaction Posting Report V07 (semt.017.001.07)	<SctiesTxPstngRpt>			
1	Financial Instrument Details	<FinInstrmDtls>	[0..*]		[1..*]
2	Financial Instrument Identification	<FinInstrmId>	[1..1]		
3	ISIN	<ISIN>	[0..1]	text [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}	[1..1]
3	Other Identification	<Othrid>	[0..*]		[1..1]
4	Identification	<Id>	[1..1]	text{1,35}	T/C
3	Description	<Desc>	[0..1]	text{1,140}	T/C
2	Closing Balance	<ClsgBal>	[0..1]		[1..1]
3	Closing Balance	<ClsgBal>	[1..1]	Choice	
4	Final	<Fnl>	[1..1]	Choice	
5	Quantity	<Qty>	[1..1]	Choice	
6	Unit	<Unit>	[1..1]	decimal td = 18 fd = 17	
2	Transaction	<Tx>	[1..*]		[4..4]
3	Corporate Action Event Identification	<CorpActnEvtId>	[0..1]	text{1,35}	
3	Transaction Details	<TxDtls>	[0..1]		[1..1]
4	Transaction Activity	<TxActvty>	[1..1]	Choice	
5	Proprietary Identification	<Prtry>	[1..1]		
6	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
7	Net Offs			NTOF	
7	Net Ons			NTON	
7	Movement From Registry			FRRG	
7	Movement To Registry			TORG	
4	Settlement Transaction Or Corporate Action Event Type	<SttlmTxOrCorpActnEvtTp>	[0..1]	Choice	
5	Corporate Action Event Type	<CorpActnEvtTp>	[1..1]	Choice	
6	Proprietary Identification	<Prtry>	[1..1]		
7	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
4	Posting Quantity	<PstngQty>	[1..1]	Choice	
5	Quantity	<Qty>	[1..1]	Choice	
6	Unit	<Unit>	[1..1]	decimal td = 18 fd = 17	T/C
4	Effective Settlement Date	<FctvSttlmDt>	[1..1]	Choice	
5	Date	<Dt>	[1..1]	date	
4	Transaction Additional Details	<TxAddtlDtls>	[0..1]	text{1,350}	T/C

Beginning of the repeating group (1..*)

Security Code (1..1)
ISIN (1..1)
APIR Code (0..1)

Closing Balance (1..1)

Transaction (4..4)

Corporate Action Identification (0..1): CEMV (1..1)
* Ex Date will not be populated in rptg_605 only in the request rptg_601.

Movement Type (1..1)

- NTOF (NetOffs)
- NTON (NetOns)
- FRRG (MovementFromRegistry)
- TORG (MovementToRegistry)

Basis of Movement (0..1): CEMV (1..1)

Unit Quantity (1..1)

Date (1..1)

Account Identification HIN (1..1):
inside of the repeating group

3b Demand reporting

rptg_602_acmt_004 (Account Notification Reporting Request)

L1	Name	XML Tag	Mult	Type / Code	Rest
0	Get Account Details V05 (acmt.004.001.05)	<GetAcctDtls>			
1	Message Identification	<MsgId>	[1..1]		
2	Identification	<Id>	[1..1]	text{1,35}	
2	Creation Date Time	<CreDtTm>	[1..1]	dateTime	
1	Investment Account Selection	<InvstmtAcctSelctn>	[1..1]	Choice	
2	Account Identification	<AcctId>	[1..1]	text{1,35}	X
2	Other Account Selection Data	<OthrAcctSelctnData>	[1..1]		
3	Name	<Nm>	[0..1]	text{1,35}	T/C
3	Security Details	<SctyDtls>	[0..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
6	Identification Source	<IdSrc>	[1..1]	Choice	
7	Proprietary	<Prtry>	[1..1]	text{1,35}	T/C
8	XASX			XASX	

rptg_602_acmt_004: [HRD, HLD]

Transaction Id (1..1)

Account Identification: (remove as It is part of choice component)

Account Identifier HIN(0..1)

Security Code (0..1)

Response acct_002_acmt_002

3b Demand reporting

rptg_603_camt_060 (Counterparty Funds Balance Reporting Request)

rptg_603_camt_060: [CFBL]

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Account Reporting Request V05 (camt.060.001.05)	<AcctRptgReq>			
1	Group Header	<GrpHdr>	[1..1]		
2	Message Identification	<MsgId>	[1..1]	text{1,35}	
2	Creation Date Time	<CreDtTm>	[1..1]	dateTime	
1	Reporting Request	<RptgReq>	[1..*]		[1..1]
2	Requested Message Name Identification	<ReqdMsgNmId>	[1..1]	text{1,35}	T/C
3	Counterparty Funds Balance			CFBL	
2	Account Owner	<AcctOwnc>	[1..1]	Choice	
3	Party	<Pty>	[1..1]		
4	Identification	<Id>	[0..1]	Choice	[1..1]
5	Organisation Identification	<OrgId>	[1..1]		
6	Any BIC	<AnyBIC>	[0..1]	text [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}	T/C
6	Other	<Othr>	[0..*]		[0..1]
7	Identification	<Id>	[1..1]	text{1,35}	T/C

Transaction Id (1..1)

Reporting Id (1..1)

- CFBL (Counterparty Funds Balance)

Participant Id (1..1)

3b Demand reporting

rptg_606_camt_052 (Counterparty Funds Balance Reporting)

rptg_606_camt_052: [CFBL]

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Bank To Customer Account Report V08 (camt.052.001.08)	<BkToCstmrAcctRpt>			
1	Group Header	<GrpHdr>	[1..1]		
2	Message Identification	<MsgId>	[1..1]	text{1,35}	
2	Creation Date Time	<CreDtTm>	[1..1]	dateTime	
1	Report	<Rpt>	[1..*]		
2	Identification	<Id>	[1..1]	text{1,35}	
2	Report Pagination	<RptPgtn>	[0..1]		[1..1]
3	Page Number	<PgNb>	[1..1]	text [0-9]{1,5}	
3	Last Page Indicator	<LastPgInd>	[1..1]	boolean	
2	Creation Date Time	<CreDtTm>	[0..1]	dateTime	[1..1]
2	Account	<Acct>	[1..1]		
3	Identification	<Id>	[1..1]	Choice	
4	Other	<Oth>	[1..1]		
5	Identification	<Id>	[1..1]	text{1,34}	T/C
3	Servicer	<Svcr>	[0..1]		[1..1]
4	Financial Institution Identification	<FinInstId>	[1..1]		
5	BICFI	<BICFI>	[0..1]	text [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}	T/C
5	Other	<Oth>	[0..1]		
6	Identification	<Id>	[1..1]	text{1,35}	T/C
2	Balance	<Bal>	[0..*]		[1..1]
3	Type	<Tp>	[1..1]		
4	Code Or Proprietary	<CdOrPrtry>	[1..1]	Choice	
5	Proprietary	<Prtry>	[1..1]	text{1,35}	T/C
6	Participant Counterparty Balance	PCBL			
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
3	Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
4	Credit	CRDT			
4	Debit	DBIT			
3	Date	<Dt>	[1..1]	Choice	
4	Date	<Dt>	[1..1]	date	

Transaction Id (1..1)

Pagination (1..1)

Account Identifier(1..1): NONREF

Participant Id (1..1)

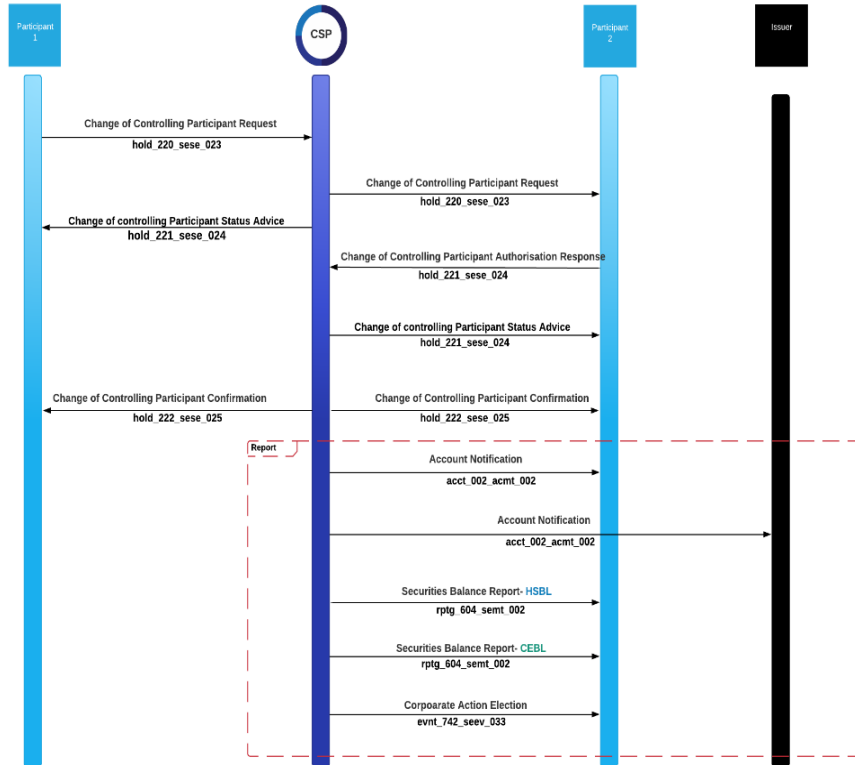
Balance Type (1..1): PCBL (ParticipantCounterpartyBalance)

Amount (1..1)

Credit Debit Indicator (1..1)

Date (1..1)

3c Changing Controlling Participant



Report Id (to-be)	EIS number Response	ISO 20022 Base message	ASX message Id Response
HSBL (HoldingSubpositionBalance)	502 522	semt_002	rptg_604 Security Balance Reporting
CEBL (CumEntitlementBalance)	520		
n.a.	832		
Holding Registration Details	222	acmt_002	acct_002 Account Notification
Corporate Action Election (Dividend Election)	n.a.	seev_033	evnt_742 Corporate Action Election

- The Participant will receive HSBL, CEBL, acct_002 and evnt_742.
- The Participant will not receive Holding Balance (HBAL) as Holding Sub position Balance (HSBL) has the Balance (Aggregated) and Sub Balance in the same message.
- Corporate Action Election (evnt_742) in COCP will have Dividend Elections only. Takeovers and Rights will be through HSBL (Holding Subposition Balance).

3d Isolate counterparty

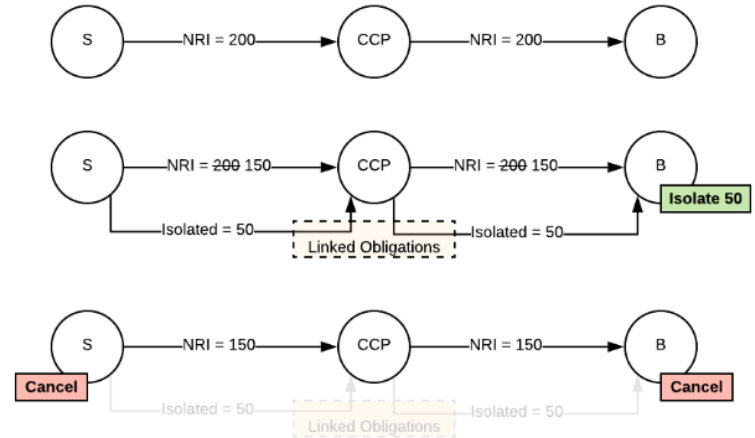
Overview

Isolate Counterparty allows a settlement participant which is due to receive units from a failed novated settlement obligation to request isolation of a number of units and disclosure of the failing settlement participant. The purposes of this is typically to request non-default protection for a corporate action.

This can be requested against any unsettled *Novated Rescheduled Instruction* and results in:

- A modification or cancellation of the receiving SP's *Novated Rescheduled Instruction* for the requested Unit Quantity.
- A modification or cancellation of one or more *Novated Reschedule Instructions* for the delivering SP(s) which aggregate to the requested Unit Quantity.
- New contingent *Novated Reschedule Instruction(s)* created between the delivering and receiving SP(s) with ASX Clear interposed.

After isolation the obligations will be settled together, or can be cancelled.



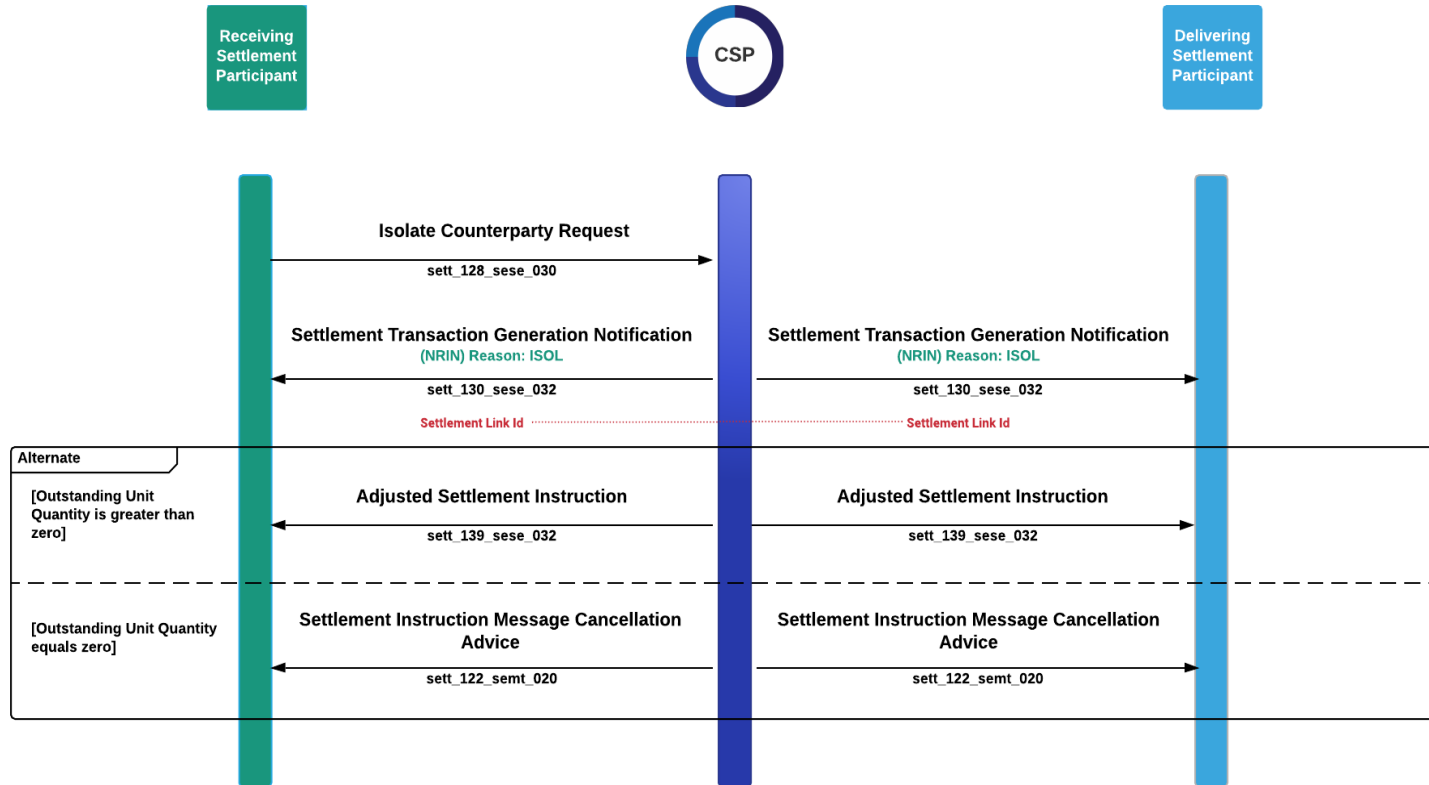
3d Isolate counterparty

'To-be' message consolidation table

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	Settlement Transaction Condition	From	To
Request	EIS 139	sett_128	sese_030	Isolate Counterparty Request		Participant	CSP
Notification	n.a. same as EIS 124	sett_130	sese_032	Settlement Transaction Generation Notification	Novated Reschedule Instruction (NRIN) Reason: Isolate Counterparty (ISOL)	CSP	Participant
Update	EIS 128	sett_139	sese_032	Adjusted Settlement Instruction		CSP	Participant
Cancellation Response	EIS 116	sett_122	semt_020	Settlement Instruction Message Cancellation Advice		CSP	Participant
Cancellation	same as EIS 119, EIS 129 and EIS 135	sett_107	sese_020	Settlement Instruction Cancellation Request		Participant	CSP
Cancellation Confirmation	EIS 116	sett_108	sese_027	Settlement Instruction Cancellation Confirmation		CSP	Participant
Status	same as EIS 194	sett_109	sese_024	Settlement Instruction Status Advice		CSP	Participant
Cancellation Status	same as EIS 178	sett_118	sese_027	Settlement Instruction Cancellation Status Advice		CSP	Participant
Withdrawal Request	same as 131	sett_111	sese_020	Bilateral Settlement Instruction Cancellation Withdrawal Request		Participant	CSP
Withdrawal Response	same as 132	sett_112	sese_027	Bilateral Settlement Instruction Cancellation Withdrawal Response		CSP	Participant

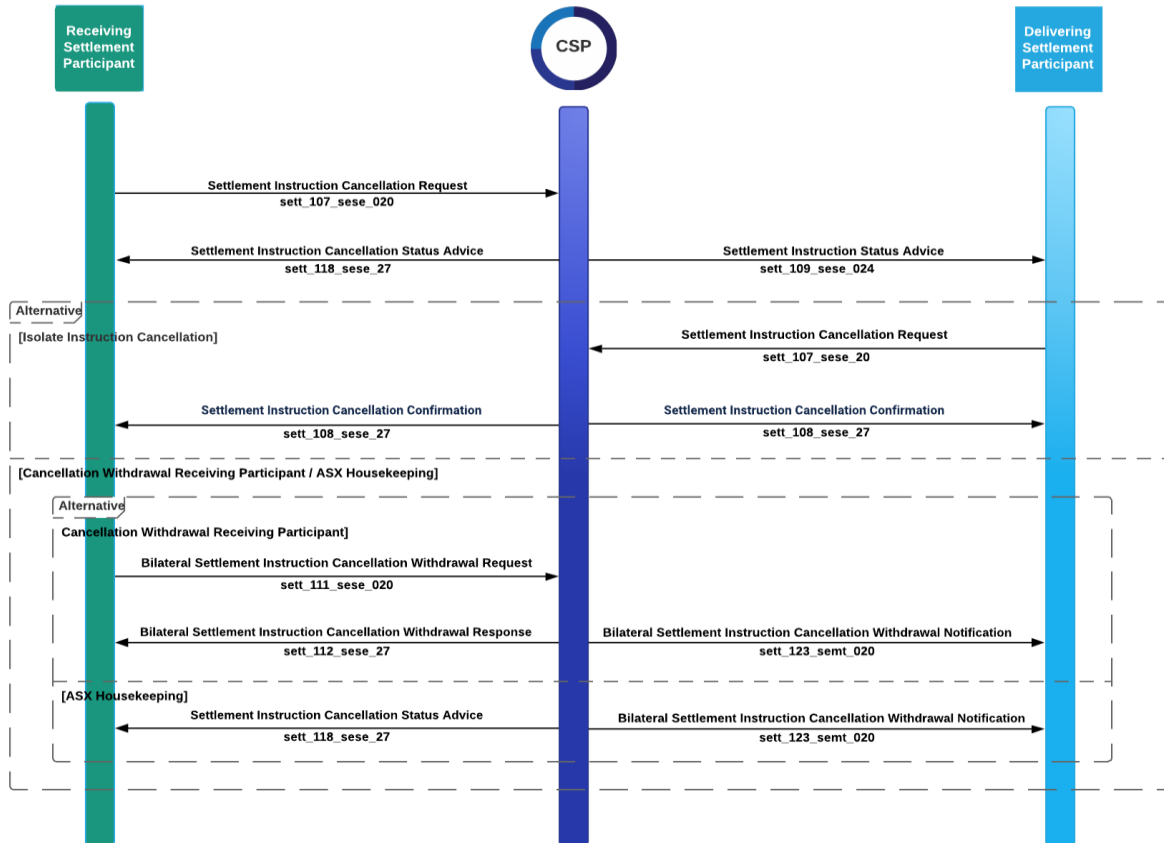
3d Isolate counterparty

Isolate Counterparty Request uml flow



3d Isolate counterparty

Isolate Counterparty Cancellation Request uml flow



3d Isolate counterparty

sett_128 - Isolate Counterparty Request

sett_128 [EIS 139] : sese.030

Name	XML Tag	Mult	Type / Code	Restr
Securities Settlement Conditions Modification Request V07 (sese.030.001.07)	<SctiesSttlmCondsModReq>			
Safekeeping Account Identification	<SfkggAcctId>	[1..1]		
Request Details	<ReqDtls>	[1..*]	text{1,35}	T/C [1..1]
Reference	<Ref>	[1..1]		
Account Owner Transaction Identification	<AcctOwnrTxId>	[0..1]	text{1,35}	[1..1]
Additional Information	<AddtlInf>	[0..*]		[1..1]
Quantity	<Qty>	[0..1]	Choice	[1..1]
Unit	<Unit>	[1..1]	decimal td = 18 fd = 17	

Account Identifier HIN (1..1)

Target Transaction Id (1..1): Obligation Id from sett_130 Novated Reschedule Instruction

Unit Quantity (1..1):

3d Isolate counterparty

sett_130 - Settlement Transaction Generation Notification

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Securities Settlement Transaction Generation Notification V07 (sese.032.001.07)	<SciesSttlmTxGnrtnNtfctn>			
1	Linkages	<Lnkgs>	[0..*]		[0..1]
2	Reference	<Ref>	[1..1]	Choice	
3	Securities Settlement Transaction Identification	<SciesSttlmTxId>	[1..1]	text(1,35)	
2	Settlement Transaction Condition	<SttlmTxCond>	[0..*]	Choice	[1..1]
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9](4)	T/C
5	Bilateral Settlement Instruction			BSSI	
5	Unilateral Settlement Instruction			USSI	
5	Net Broker Obligation			NBOB	
5	Gross Market Trade			GMTD	
5	Novated Rescheduled Instruction			NRIN	
5	Novated Settlement Failure Instruction			NSFI	
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	
1	Receiving Settlement Parties	<RcvgSttlmPties>	[0..1]		[1..1]
2	Party 1	<Pty1>	[0..1]		[1..1]
4	Identification	<Id>	[1..1]	text(1,35)	T/C
2	Party 2	<Pty2>	[0..1]		
3	Identification	<Id>	[1..1]	Choice	
1	Status And Reason	<StsAndRsn>	[0..1]		[1..1]
2	Settlement Status	<SttlmSts>	[0..1]	Choice	[1..1]
3	Pending	<Pdg>	[1..1]	Choice	
4	Reason	<Rsn>	[1..*]		[1..1]
5	Code	<Cd>	[1..1]	Choice	
6	Proprietary	<Prtry>	[1..1]		
7	Identification	<Id>	[1..1]	text [a-zA-Z0-9](4)	T/C

sett_130 [EIS 124]: sese.032

- Obligation Id: Unique
- Securities Movement Type <DELI for Delivering Party, RECE for Receiving Party>
- Payment <APMT>
- Settlement Link Id: common to both instruction, must be populated when settlement transaction condition is 'Novated Rescheduled Instruction' ('NRIN') AND Reason Code is 'Isolate Counterparty' ('ISOL')
- Settlement Date
- Basis of Movement
- Security Code
- Unit Quantity
- Account (HIN) <The Nominated Settlement Entrepot of the Delivering or Receiving Party>
- Transaction Basis
- Settlement Transaction Condition: <NRIN>
- Settlement Amount
- Delivering Party <The Delivering Party or the CCP>
- Receiving Party <The Receiving Party or the CCP>
- Isolated Counterparty <the Delivering or Receiving Party that is not the CCP on the linked Obligation>: must be populated when settlement transaction condition is 'Novated Rescheduled Instruction' ('NRIN') AND Reason Code is 'Isolate Counterparty' ('ISOL')
- Reason: Isolate Counterparty <ISOL>

3d Isolate counterparty

sett_139 - Adjusted Settlement Instruction

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Securities Settlement Transaction Generation Notification V09 (sese.032.001.09)	<SciesSttlmTxGnrtnNtfctn>			
1	Transaction Identification Details	<TxidDtIs>	[1..1]		
2	Corporate Action Event Identification	<CorpActnEvtId>	[0..1]	text{1,35}	[0..1]
1	Settlement Parameters	<SttlmParams>	[1..1]		
2	Securities Transaction Type	<SciesTxTp>	[1..1]	Choice	
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
2	Settlement Transaction Condition	<SttlmTxCond>	[0..*]	Choice	[1..1]
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
5	Bilateral Settlement Instruction	BSSI			
5	Unilateral Settlement Instruction	USSI			
5	Net Broker Obligation	NBOB			
5	Gross Market Trade	GMTD			
5	Novated Rescheduled Instruction	NRIN			
1	Generated Reason	<GnrtdRsn>	[0..*]		[1..1]
2	Code	<Cd>	[1..1]	Choice	
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
5	Transformation	TRAN			
5	Isolate Counterparty	ISOL			
2	Additional Reason Information	<AddRsnInf>	[0..1]	text{1,210}	T/C
3	Code Change Diary Adjustment	CCDA			
3	Bonus Diary Adjustment	BNDA			
3	Consolidation Diary Adjustment	CODA			
3	Dividend Diary Adjustment	DVDA			
3	Interest Diary Adjustment	INDA			
3	Application Money Diary Adjustment	AMDA			
3	Non-Renounceable Rights Diary Adjustment	NRDA			
3	Renounceable Rights Diary Adjustment	RRDA			
3	Split Diary Adjustment	SSDA			
3	Capital Return Diary Adjustment	CRDA			
3	Attaching Option Diary Adjustment	AODA			
3	Call Diary Adjustment	CLDA			

sett_139 [EIS 128]: sese.032

- Obligation Id: from sett_130
- Securities Movement Type <DELI for Delivering Party, RECE for Receiving Party>
- Payment <APMT>
- Corporate Action Id made optional
- Settlement Date
- Security Code
- Unit Quantity
- New Settlement Amount
- Adjustment Value
- Account (HIN) <The Nominated Settlement Entrepot of the Delivering or Receiving Party>
- Transaction Basis
- Settlement Transaction Condition: <NRIN>
- Adjustment Reason: ISOL (Isolate Counterparty)
- Adjusted Type- No required
- Previous Unit Quantity

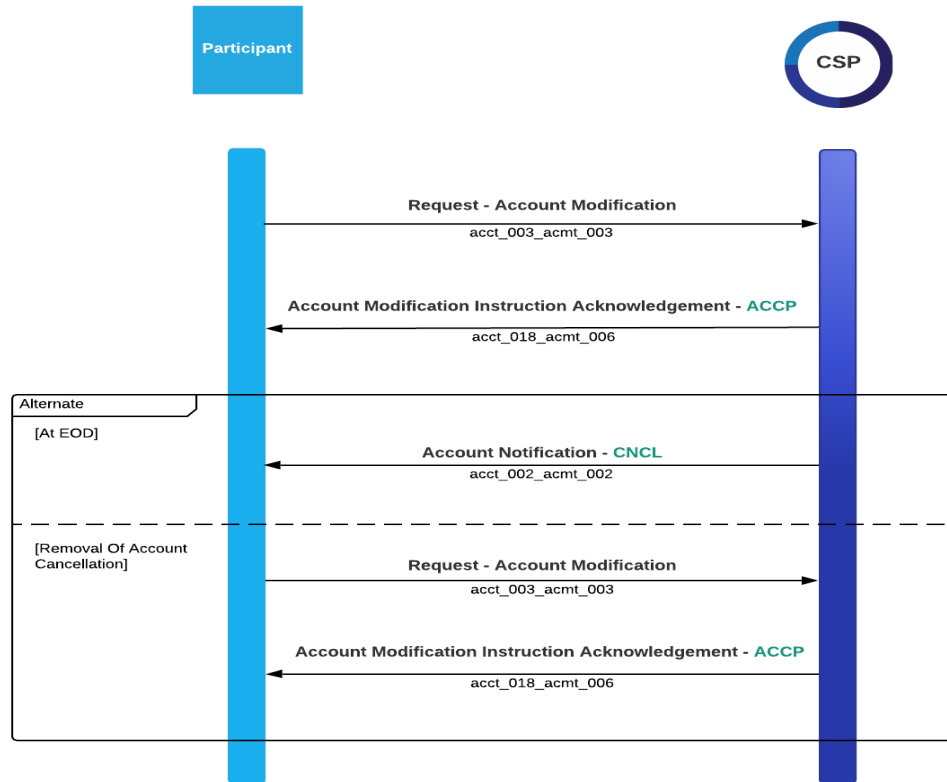
3e Account cancellation

'To-be' message consolidation table (Account Cancellation)

Message Type	Message Id	EIS	ISO 20022 base message	Message Name	From	To
Request	acct_003	EIS 203	acmt_003	Account Modification Instruction	Participant	CSP
Notification	acct_002	EIS 202	acmt_002	Account Notification	CSP	Participant
Acknowledgement	acct_018	EIS 218	acmt_006	Account Modification Instruction Acknowledgement	CSP	Participant

3e Account cancellation

Message flow Account Cancellation



3e Account cancellation

Message flow Account Cancellation

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Account Modification Instruction V07	<AcctModInstr>			
1	Message Identification	<MsgId>	[1..1]		
1	Previous Reference	<PrvsRef>	[0..1]		
2	Reference	<Ref>	[1..1]	text{1,35}	
1	Investment Account Selection	<InvstmtAcctSelctn>	[1..1]	Choice	
2	Account Identification	<AcctId>	[1..1]	text{1,35}	T/C
1	Modified Investment Account	<ModfdInvstmtAcct>	[0..1]		
2	Account Status Update Instruction	<AcctStsUpdInstr>	[0..1]		
3	Update Instruction	<UpdInstr>	[1..1]	Choice	
4	Proprietary	<Prtry>	[1..1]		
5	Identification	<Id>	[1..1]	text{1,35}	T/C
5	Additional Information	<AddtlInf>	[0..1]	text{1,350}	T/C

Account Modification Instruction:

acct_003_acmt_003 [EIS203]

Transaction Id (1..1)

Target Transaction Id (0..1) Transaction Id of a queued Account Modification Instruction to cancel the Account Identifier (HIN)

Account Identifier (HIN) (1..1)

Account Status (0..1) : Cancelled (CNCL)

ASX proprietary code list:
HolderAccountStatus_ASX_1

3f Updates to account creation for migration purposes

Overview

What's Changing?

- 1) Holder type 'Unknown' was allowed only for Registration Identifier (RGID) type accounts. Some migrated accounts will be created within the CSP with holder type 'Unknown'.
- 2) Holder type will be allowed to change from 'Unknown' to 'Individual' or 'Company'.
- 3) Holder type must be changed from 'Unknown' to 'Individual' or 'Company' while changing when changing the attributes of an Account associated to a Holder of type 'Unknown' and holder name must be restated.
- 4) Aligned communication preference with the CHES registration details BP208-Email Purpose field. Updated acct.001/ acct.002/ acct.003.
Introduced following communication preferences:
 - Post (POST)
 - Electronic - ASX Only (ELEA)
 - Electronic - Issuer Only (ELEI)
 - Electronic - ASX & Issuer (ELEC)
- 5) Following changes to 'Registered Address' to support migration.
 - acct.002 notification message: to have 4th and 5th address lines
 - acct.002 notification message: changed to make 'town name' an optional element.

3f Updates to account creation for migration purposes

Overview

Lv	Name	XML Tag	Mult	Type / Cod	Rest
0	Account Modification Instruction V07	<AcctModInstr>			
1	Message Identification	<MsgId>	[1..1]		
1	Instruction Details	<InstrDtls>	[0..1]		
2	Client Reference	<ClntRef>	[0..1]	text{1,35}	
1	Investment Account Selection	<InvstmtAcctSelctn>	[1..1]	Choice	
2	Account Identification	<AcctId>	[1..1]	text{1,35}	T/C
1	Modified Account Parties	<ModfdAcctPties>	[0..10]		
2	Modification Scope Indication	<ModScplndctn>	[1..1]	text	
3	Update Data Set Details			UPDT	
2	Principal Account Party	<PrncplAcctPty>	[0..1]	Choice	
3	Primary Owner	<PmryOwnr>	[1..1]		
4	Party	<Pty>	[1..1]	Choice	
5	Organisation	<Org>	[1..1]		
6	Name	<Nm>	[0..1]	text{1,350}	[1..1]
6	Type Of Organisation	<TpOfOrg>	[0..1]	Choice	
7	Proprietary	<Prtry>	[1..1]		
8	Identification	<Id>	[1..1]	text	T/C
9	Individual			INDI	
9	Company			COMP	
4	Client Identification	<ClntId>	[0..1]	text{1,35}	[1..1]
4	Additional Information	<AddtlInf>	[0..*]		[0..1]

Holder Type change from Unknown to Company/Individual:

Account Modification Instruction:
acct_003_acmt_003 [EIS203]

Contact Reference (0..1)
Account Identifier (HIN) (1..1)

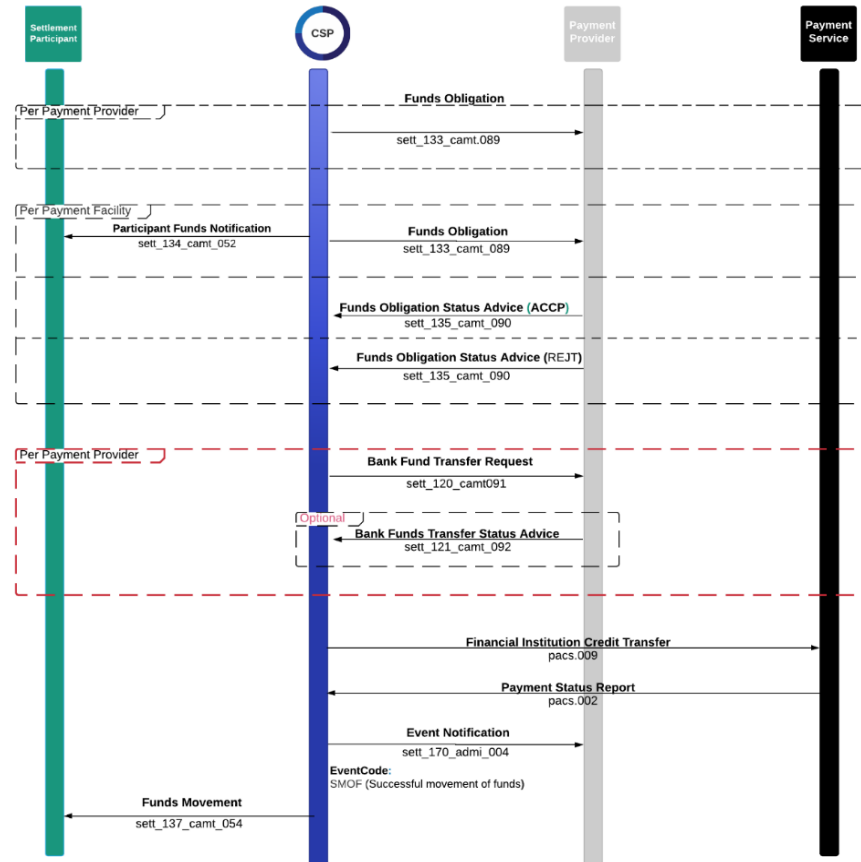
Holder Type (1..1): Company (COMP)/Individual (INDI)

Holder Identifier (1..1)

Update Reason (1..1): Change of Holder Type (TYPE)

3g Payment provider – fund transfer

Message flow



3g Payment provider – fund transfer

‘To-be’ message consolidation table

Message Type	Message Id	EIS	ISO 20022 base message	Message Name	From	To
Request	sett_120	EIS 332	camt_091	Cash Settlement Initiation Request	CSP	Payment Provider
Status Advice	sett_121	EIS 333	camt_092	Cash Settlement Initiation Status Advice	Payment Provider	CSP

3h Updates to BAH to include Business Date

Lvl	Name	XML Tag	Mult
0	Business Application Header V02 (head.001.001.02)	<AppHdr>	
1	From	<Fr>	[1..1]
2	Organisation Identification	<OrgId>	[1..1]
3	Identification	<Id>	[0..1]
1	To	<To>	[1..1]
2	Organisation Identification	<OrgId>	[1..1]
3	Identification	<Id>	[0..1]
1	Business Message Identifier	<BizMsgIdr>	[1..1]
1	Message Definition Identifier	<MsgDefIdr>	[1..1]
1	Business Service	<BizSvc>	[0..1]
1	Creation Date	<CreDt>	[1..1]
1	Business Processing Date	<BizPrdgDt>	[0..1]
1	Signature	<Sgntr>	[0..1]
1	Related	<Rltd>	[0..*]
2	From	<Fr>	[1..1]
3	Organisation Identification	<OrgId>	[1..1]
4	Identification	<Id>	[0..1]
2	To	<To>	[1..1]
3	Organisation Identification	<OrgId>	[1..1]
4	Identification	<Id>	[0..1]
2	Business Message Identifier	<BizMsgIdr>	[1..1]
2	Message Definition Identifier	<MsgDefIdr>	[1..1]
2	Business Service	<BizSvc>	[0..1]
2	Creation Date	<CreDt>	[1..1]

Business Application Header: comm_802_head_002

New Business Processing Date (0..1): Business Date

- Only applicable for egress message from CSP to the receiver

3i 'To-be' messages for review

To-be Messages	Collections
rptg_601	sett_107
rptg_602	sett_108
rptg_603	sett_109
rptg_604	sett_118
rptg_605	sett_111
rptg_606	sett_120
sett_122	sett_121
sett_128	acct_003
sett_130	acct_002
sett_139	acct_018
sett_112	comm_801

MyStandards 'to-be' documentation

Community: ASX ISO 2022 Technical Committee

Collection: ASX_AU_CHS_draft_rptg
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 **10 March 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:
 - Payment interface
 - Reporting
 - Change of controlling participant
 - Isolate counterparty
 - Account cancellation
 - Default management

- > 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

4c Update from Business Committee

5. Closing

5 Closing

- > Noted actions from this meeting
- > Draft minutes from this meeting will be distributed for review
- > **Additional meeting – Tuesday 7 April, Sydney, webinar**

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

Thank you.