

# Minutes

## ISO 20022 Technical Committee Meeting

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<b>Date</b>	Tuesday, 1 October 2019	<b>Time</b>	3.00pm – 5.00pm
<b>Location</b>	ASX Offices – Level 1, 20 Bridge Street, Sydney and via webinar		

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1. **Welcome, Agenda**
2. **Minutes from last meeting, open actions**
3. **Matters for Consideration (Business and Technical Matters)**
  - a) Focus Group update – Corporate actions, mFund
  - b) Review of member feedback on published ‘to-be’ messages
  - c) mFund application
  - d) ‘To-be’ messages for review
4. **Standing agenda items**
  - a) CHES Replacement project update by ASX
  - b) ISO 20022 project update by ASX
  - c) Update from Business Committee
5. **Next meeting** - Friday 1 November 2019 - Sydney

### Technical Committee Members

Company	Name	Job Title	Apologies
Advanced Share Registry Limited	Frances Sumich	Accounts Manager	
Australian Payments Network Limited	Andy White	Chief Executive Officer	Apology
Australian Payments Network Limited	Paul Creswick	Security Standards Manager	
Bank of America Merrill Lynch	Andree Hindmarsh	Head of GMOT Australia	
Bank of America Merrill Lynch	Jimmie Alam		
Bell Potter Securities	Dean Surkitt	Managing Director Retail	Apology
BNP Paribas Securities	Penelope Stafford	Manager Settlements	
BNP Paribas Securities	Wayne Murphy	Project Manager	
Boardroom Limited	Tony Robinson	Senior Software Engineer	
Boardroom Limited	Michael Mullins	CIO	
Broadridge (Australia)	Manoj Mathew	Business Analyst	
Broadridge (Australia)	Mabel Chow	Development and Support Manager	
Broadridge (Australia)	Tomas Kliman	Senior Project Manager	
Broadridge (Australia)	James Marsden	APAC Business Development & Strategy	
Broadridge (Australia)	Andy King	Product Specialist	
Broadridge (Australia)	Anil Wali	Product Specialist	
Broadridge (Australia)	Alok Ranjan	Technology Specialist	
Broadridge (Australia)	Beverley Chatterton	Senior Business Analyst	
Broadridge (Australia)	Richard Widjaya		
CBA Equities	Carolyn Webb	Test Manager	
CBA Equities	Ben Lowe	Manager Settlements	
Chi-X Australia	Mike Aikins	Head of Solution Development	
Chi-X Australia	Suketu Adhvaryu	Senior Solution Architect	
Citicorp	Miles O'Connor	Director, Direct Custody & Clearing Securities Markets & Securities Services	
Citicorp	Andrew Gibson	Director – Head of Direct Custody and Clearing Australia & NZ	
Citicorp	Brett Dennis	Head of Operations – Party Clearing	

<b>Company</b>	<b>Name</b>	<b>Job Title</b>	<b>Apologies</b>
Citicorp	Lyall Herron		
Citicorp	Janice O'Brien	Markets & Securities Services Technology	
Citicorp	Matthew Warner		
Citicorp	Ashok Kumar Balusa		
Citicorp	Glenn Pahilan		
Citicorp	Stephen Rylands	Product Manager	
Citicorp	Pradeep Pandian		
CMC Markets Stockbroking	Nikola Vanstan	Change Manager	
Computershare	Paul Walton	Senior Manager, Corporate Actions & New Business Development – Investor Services	
Computershare	Leanne Bailey	Senior Business Analyst Product & Innovation	
Computershare	Laik Tan		
Computershare	Carl Christensen	Senior Project Manager	
Computershare	Nicki Priem	Projects Manager, Technology Services	
Deutsche Securities	Kevin Novini		
Digital Asset	Fil Mackay	Senior Product Architect	
Digital Asset	Louise Boreham	Senior Product Manager	Apology
FinClear Technology	Craig Gray	Product Manager – Australia and NZ	
FinClear Technology	Nikki Gleisner	Account Manager	
FinClear Technology	Allan Morris		
FinClear Technology	Craig Day		
FinClear Technology	Ravinder Jabbal		
GBST	Sue Schafer	Product Owner	
GBST	Khanh Le	Systems Architect	
GBST	Valter Di Girolamo	Senior Business Analyst	
Goldman Sachs	Josh Rice		
Goldman Sachs	Nidhi Luthra		
Goldman Sachs	Kenichi Shirasuna		
Goldman Sachs	Calvin Lo		
HSBC Securities Services	Gregory Wilkin	Head of HSBC Operations	

<b>Company</b>	<b>Name</b>	<b>Job Title</b>	<b>Apologies</b>
HSBC Securities Services	Salih Kulic	Manager Custody	
HSBC Bank Australia Limited	Michael Macintosh	Senior Client Account Manager, Global Liquidity and Cash Management	
HSBC Bank Australia Limited	Anna Fratini	Senior Product Manager – High Value Payments, Clearing and Financial Institutions,	
HSBC Bank Australia Limited	Phyllis Yeung	Senior Analyst	
HSBC	Herman Wong	Manager, Change Management & Delivery	
HSBC	Edmond Chan	Senior IT Development Manager	
HSBC	Cherrie Xu	Head of IT Securities Service	
HSBC	Asri Asat	Optimisation Manager, Securities Service	
HSBC	Chang Gao	Business Consultant	
JP Morgan	Ed Lawson	Settlements Manager	
JP Morgan	Danny Ng	Middle and Back office AD Manager	
JP Morgan	Scott Oakland	Direct Custody Product Manager Australia	
JP Morgan	Ned Miglez		
JP Morgan	Daniel Smith	VP, Network Management	
JP Morgan	Lesley Henderson	Technology Product team	
Link Group	Ian Batterham	Business Applications Architect	
Link Group	Stephen Dear	Project Manager	
Macquarie Group	Paul Bragg	Senior Manager Equities Clearing ANZ	Apology
Macquarie Group	Merrilyn Auton	Manager Operations	
Morgans Financial	Matt Neaubauer	Team Leader, Service Management Team	
Morgans Financial	Ed Strike	IT Manager	
Morgan Stanley	Dorothy Wilson	Executive Director, Morgan Stanley Wealth Management, ISG Technology	
Morgan Stanley	Kirsty Venters	VP, Prime Brkrng Funding & Fin Tech	
Morgan Stanley	Oscar Dela Cruz		
Morgan Stanley	Andrew Fielder		
Morgan Stanley	Gordon Davies	VP/Firmwide Ops	

Company	Name	Job Title	Apologies
Morgan Stanley	Andrew Sime		
Morgan Stanley	Emily Krezlewski	Operations	
NAB Asset Management	Suresh Chinnappa	Senior Manager ASO Process Enhancement	
NAB Asset Management	Mark Zahorjanski	Lead Overnight Custody Support	
National Stock Exchange	Yemi Oluwi	Head of Technology	
Nomura Research Institute	John Ryan	Senior Consultant	
Nomura Research Institute	Ashish Jha		
Nomura Research Institute	Sayantana Majumdar	Chief Manager, Business Solutions	
Nomura Research Institute	Diptesh Chakraborty	Solution Architect	
Northern Trust	Yen Pan Chung	Senior BA, Market Advocacy and Innovation Research	
Northern Trust	Pawel Kalbrun		
Northern Trust	Tracey Murphy		
RBC	Jeanette Broome	Head of Operations Engineering team AsiaPac	
RBC	Jaime Chia	Head of Application Support Australia	
Securitease	Anton Smith	Director	Apology
Securitease	Chris Werry	Business Analyst	
Securitease	Angela Losurdo	Business Systems Analyst	
Securitease	David Hinkley	General Manager	
Securitease	Joanne Gresslehner	Project Manager	
SWIFT Standards	Nicole Jolliffe	Senior APAC Standards consultant	
Sydney Stock Exchange	Leo Zhang	Manager – Market Control	
Sydney Stock Exchange	Omar Obol	Market Control Officer	
Sydney Stock Exchange	Antony Tolfts	Listing Director	
Third Party Platform	Lindsay Grugeon		
UBS	Phillip Drury	Phillip Drury, Executive Director, Equities IT	
UBS	Neil Martin	IT – Project Management	
Wealthhub Securities	James Channon	Manager, Capital Markets Trading	
Wealthhub Securities	Alona Ma	Associate – Broking Operations Specialist	
Wealthhub Securities	Sandeep Samireddy Gari		

## ASX Management

Name	Job Title	Apologies
Tim Hogben	Chief Operating Officer (Chair of the Technical Committee)	
Gary Hobourn	Senior Economic Analyst, Regulatory and Public Policy	Apology
Con Korkofigas	Senior Legal Counsel and Senior Manager	
Tegan Jones	Senior Legal Counsel	Apology
Rohan Cush	Senior Legal Counsel	Apology
Adriana Wild Taylor	Legal Counsel	Apology
Cliff Richards	Executive General Manager, Equity Post Trade Services	Apology
Katie McDermott	General Manager, Equity Post Trade Services	
Karen Webb	Senior Manager, Equity Post Trade Services	
Russell Eyre	Enterprise Architect	Apology
Anne-Marie Fisher-Taylor	Project Subject Specialist	
Sue Julian	Project Subject Specialist	
Fraser Moodie	Manager, Integration and Connectivity, CHES Replacement	Apology
Frederik Van den Weghe	Head of Product, Equity Post Trade	
Peter Maltese	Senior Business Analyst	
Priscilla Ferri de Barros	Lead Business Analyst, Equity Post Trade	
Sachin Zope	Senior Business Analyst, Equity Post Trade	
Andrew Champion	Head of Investment Products, Listings and Issuer Services	
Rory Cunningham	Senior Manager, Investment Products, Listings and Issuer Services	



The meeting commenced at 3.00pm.

### AGENDA ITEM 1: AGENDA OVERVIEW

The Chair welcomed Technical Committee members to the meeting, including members attending by webinar.

The Chair outlined the Agenda for the meeting, referring to the presentation slides prepared by ASX.

### AGENDA ITEM 2: MINUTES FROM LAST MEETING, OPEN ACTIONS

The Chair noted that the minutes from the last meeting held on 27 August 2019 had been finalised, with no comments received. The minutes had been distributed and published on the CHES Replacement web page.

The Chair noted the outstanding actions from the last meeting as outlined on slide number 5 of the ASX presentation.

**Action item 20** was for ASX to provide a proposed plan for the remaining training webinars. The Chair noted that ASX would be guided by committee members as to the appropriate timing and content, and there had been no recent feedback on this item. **This item remains on hold.**

**Action item 62 part 3)** was for ASX to consider the visibility of holding locks to issuers on an intra-day basis. The Head of Product, Equity Post Trade proposed this action would be carried forward, given the need for consideration as part of the forthcoming work on the broader topic of reporting. **Part 3) of this item remains open.**

**Action item 94** was for ASX to liaise with the ATO to confirm whether ASX's field size for unit quantity will be acceptable for industry participant reporting. Members were to advise ASX of any further external regulatory reporting requirements for consideration, specific to each asset class. The Head of Product, Equity Post Trade advised that ASX had not received any feedback from members on this item, and ASX was currently engaging with the ATO. The Chair requested that any committee members with contacts on this subject matter at the ATO pass their details to ASX, to ensure it was liaising with the correct people. **This item remains open.**

### AGENDA ITEM 3: MATTERS FOR CONSIDERATION

#### a) Focus Group update – Corporate actions, mFund

Referring to ASX presentation slide number 7, the Head of Product, Equity Post Trade noted that ASX held three follow-up corporate actions focus group meetings for different stakeholder cohorts through late August and September. Key items discussed included foreign cash, enhancements for retail customers and the CHES-RTGS payment workflow. ASX intended to hold a fourth and final focus group meeting on corporate actions in late October/early November.

On 17 September a Focus Group was held on a number of matters relating to the mFund settlement service, as outlined on ASX presentation slide number 8. Additional engagement was required on Regular Payment and Redemption Plans (RPPs).

The next Focus Group scheduled for 15 October will discuss investor information, for example FATCA, CRS, email addresses, mobile phone numbers etc.

ASX noted it would continue to publish Focus Group and Technical Committee outcomes in the related Technical Documentation releases.

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

Referring to ASX presentation slide number 9, the Senior Business Analyst, Equity Post Trade provided an overview of feedback received regarding the messages presented at the 27 August meeting covering collateral removal, transfer of novated equities transactions (Give-ups) and batch settlement. On the collateral removal messages, comments on 5

guidelines were received from two members, requiring clarifications only. On the Give-ups messages, no comments were received, likely because those messages were specifically developed by SWIFT for the Australian market. On the batch settlement message, one comment was received which has resulted in a schema change (credit/debit indicator).

### **c) mFund application**

Referring to ASX presentation slide number 10, the Senior Business Analyst provided an overview of the mFund application workflow, from when a participant submits an application through to order confirmation (i.e. allotment of units). Key changes in the new system were highlighted.

The Head of Investment Products, Listings and Issuer Services provided an overview of the mFund business and why the changes are necessary.

Referring to ASX presentation slide number 11, the Lead Business Analyst, Equity Post Trade provided an overview of the current CHES EIS messages and their ISO 20022 equivalents. The Lead Business Analyst noted that 13 unique messages were consolidated into 7 ISO messages. A member did query the availability of equivalent ISO 20022 message to the EIS 518. The Lead Business Analyst confirmed the resulting ISO 20022 messages were comm\_807 (if schema validation issue); and comm\_808 (if business validation issue).

Referring to ASX presentation slide numbers 12 to 16, the Lead Business Analyst, Equity Post Trade then walked through the usage of the 7 ISO 20022 messages in business flows for mFund application order request, mFund application payment confirmation, mFund application update and mFund application cancellation (both by participant and PISP).

A member asked about the auto-respond functionality planned for mFund orders in the customer development environment (CDE), and asked whether the auto-respond functionality would be similar to the Issuer sponsored to CHES transfers and conversions functionality in CDE currently. The Head of Product, Equity Post Trade noted that test tools in CDE for mFund would be discussed in another forum in due course, not as part of this discussion on the messages.

Regarding the mFund application update business flow, a member asked if they could request as many updates as they liked, and the Senior Business Analyst confirmed that was correct, as long as the order was in a settled state (post payment) and before confirmation (allotment of units). A member asked if this was a change to the current state, and the Lead Business Analyst, Equity Post Trade confirmed it was not a change from current state. With regard to cancellations, ASX confirmed that cancellations could be linked to the original request via transaction ids, and would be permitted prior to allotment.

Referring to ASX presentation slide numbers 17 to 26, the Senior Business Analyst, Equity Post Trade stepped through specific examples of the field level mapping for each message. The Senior Business Analyst, Equity Post Trade pointed out one difference between setr ISO 20022 messages and other messages previously presented to the committee which use extensions rather than supplementary data. These messages have an extension block populated with two elements: place and name, and text. The text field will contain the value of the element described in the place and name field.

A member noted that at the time of an mFund application order request it may be an initial application and they would need the investor details, and asked what business rules would apply to holder/investor details. A member asked if investor details such as FATCA and CRS would be included in the original application message, or via a supplementary message. The Senior Business Analyst, Equity Post Trade confirmed that ASX needed to work through investor details further (from a workflow and messaging perspective), and would present to this committee the messages and workflows that include investor details once that work had been completed. The Senior Manager, Investment Products, Listings and Issuer Services added that whilst the detail needed to be worked through, the expectation was that for an initial application a PISP would receive the information they need regarding investor details to complete that application, and for any subsequent application those investor details would not need to be sent again.



Referring to the message mfnf\_402 a member asked about the usage of the Deal Reference field. The Senior Business Analyst, Equity Post Trade confirmed the field was optional and might be filled by the PISP for reference. ASX would not validate the content of the field.

**d) 'To-be' messages for review**

Referring to ASX presentation slide number 27, the Senior Business Analyst, Equity Post Trade noted that the messages discussed today for mFund application would be published the next day, as version 1. If any of the messages were to be used in other workflows (for example, redemptions) and require schema changes, ASX will increase the versioning of those messages. Feedback was requested by 15 October.

#### **AGENDA ITEM 4: STANDING AGENDA ITEMS**

**a) CHESSE Replacement project update by ASX**

Referring to ASX presentation slide number 39, which sets out project milestones, the General Manager, Equity Post Trade Services reported that the project continued on track, including for the fourth release of code (CDE4) at the end of October. All major vendors and participants with proprietary systems were active in the customer development environment, and connectivity was now available to share registries as well as AMOs from CDE4.

The first part of technical documentation for CDE5 was released on 27 September, covering takeovers and buybacks and collateral management. The second part of the documentation would be released later in October. The forward release plan was also updated to include functionality for the final two drops (CDE6 and CDE7), and as part of that update ASX identified two business requirements which were de-scoped from Day 1. Settlement lock for issuer sponsored holdings and auto-borrow will not be implemented on Day 1, rather further consultation would take place with implementation post Day 1 with a potentially different scope.

ASX released its fourth CHESSE Replacement project newsletter on 20 September.

A letter updating customers on indicative pricing to access the CHESSE replacement system was released on 3 September. A member noted they had outstanding questions with ASX regarding pricing for registries and issuers for AMQP, and ASX acknowledged it had received these questions and would respond by the end of the week. In response to another member's question whether ASX's response would be more broadly communicated, the General Manager, Equity Post Trade Services confirmed ASX would publically release the clarification.

On the stakeholder engagement front, a Connectivity and Integration Working Group was held on 4 September specific to Product Issuer Settlement Participants (PISPs) and mFund brokers, and the next meeting was scheduled for 9 October. An additional session for AMOs would also be scheduled in October. Work was underway to hold the next Implementation and Transition Working Group, via webinar, later in October, and invitations would be sent out as soon as possible.

Regarding the updated forward release plan, a member reiterated a point made at the last Business Committee meeting that the functionality and resultant testing/development work for share registries was skewed very much towards the last drop of code (CDE7). The General Manager, Equity Post Trade Services noted that the documentation would be released by February 2020, but acknowledged that the code itself would not be released until May 2020. The Chair noted this risk, which ASX needed to monitor going forward.

Regarding takeover and buybacks for CDE4, a member asked what corporate action event ID and option codes would be released as part of that drop. The Project Subject Specialist confirmed ASX's intention to discuss this matter further in the proposed additional corporate actions focus group to be scheduled in late October/early November (**Matters Arising 1 – Action Item 95**).

## **b) ISO 20022 project update by ASX**

The Senior Manager, Equity Post Trade Services provided an update on the ISO 20022 project. Topics in progress for 'to-be' mapping included mFund, settlement, holding adjustment, corporate actions, collateral and payment.

On the global ISO 20022 engagement front, ASX had continued to join the monthly meetings of the ISO 20022 Securities Standards Evaluation Group (SEG), with the last meeting held the previous evening. ASX was closely tracking progress and providing feedback on messages which it had an interest in (for example, new shareholder identification disclosure messages resulting from the European Union Shareholder Rights Directive II). Another group of interest to ASX was a new evaluation group reviewing monthly and annual reports messages, reporting penalties from CSDs to banks. ASX has been actively providing feedback given its intention to use those messages for levy notifications.

The T2S Evaluation Team had been on a break for a few months, with the next meeting expected in October or November.

Regarding ASX's Business Application Header (BAH) request which has been submitted, ASX had no further updates. The SWIFT Standards Consultant advised it was on track to be published towards the end of October or early November.

The Senior Manager, Equity Post Trade Services noted ASX was also working on its business justification for the new give-up messages.

The Senior Manager, Equity Post Trade Services referred to ASX presentation slide number 31, which demonstrated the progress with mapping in scope EIS 'as-is' messages (a total of 420 messages) covered in 'to-be' drops (197 EIS equivalent messages as at end September 2019) as well as additional drafts shared with this committee (an additional 15 EIS equivalent messages). Combined, progress was at approximately 50% completion, and taking into consideration EIS messages which are candidates to be de-scoped (an estimated additional 93 EIS messages), the actual completion rate was closer to 73%.

A member asked where reporting would fall into discussion with this committee. The Head of Product, Equity Post Trade reiterated ASX's process whereby a Focus Group meeting may be held to discuss any substantively new or materially different functionality, and noted that the de-scope of some demand reporting messages had already been shared with this committee some time ago. The Head of Product reiterated that ASX had further analysis to do on reporting, and would revert back to either this committee or an alternative forum. The member asked when that would occur. The Head of Product, Equity Post Trade committed to advising when remaining reporting messages would be shared and the forums in which that discussion would take place. **(Matters Arising 2 – Action Item 96).**

## **c) Update from Business Committee**

The Chair advised that the Business Committee met on 19 September, with the agenda including updates on ASX's Corporate Actions Straight Through Processing (STP) Phase 2 project and a CHES Replacement project update including an update on this committee. Discussion around the August 2018 RBA RTGS system outage occurred, including market consultation on the post trade implications for CHES and Austraclear. The digitalisation of CHES statements was also discussed, noting that the key was obtaining the necessary investor email addresses. The annual audit of ASX's compliance with its regulatory expectations, including how it runs the Business Committee, was also discussed.


#### AGENDA ITEM 5: NEXT MEETING

The Chair thanked members for their contributions to the meeting and noted the actions from the meeting.

The next meeting would be held at 2pm on 1 November 2019 in Sydney, with proposed topics to include levy notification, DRP and mFund redemption.

The meeting closed at 4.45 pm.

Signed as a correct record of the meeting.



Technical Committee Chair

24 October 2019.

Date

## ACTION ITEMS

No.	Meeting Date	Open Action Items	Owner	Due Date
20	2 May 2017	Provide details of a proposed plan including potential topics for the remaining training webinars for feedback, standard training provided by SWIFT, and including identification of business vs. technical topics.	ASX	On hold
62	4 Sep 2018	<p>ASX to review</p> <ol style="list-style-type: none"> <li>1. the intended timing for housekeeping of unmatched messages, any standardisation opportunities for timing. <b>(this item was closed, given related action item #79 was also closed)</b></li> <li>2. whether settlement requests could be future dated. <b>(this item was closed – ASX response that future dating would not be supported)</b></li> <li>3. ASX would also consider the visibility of holding locks to issuers on an intra-day basis.</li> </ol>	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
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

No. Meeting	Date	Closed Action Items	Owner	Due Date
1	13 Dec 2016	Amend the Charter to reflect that the Chair “will” (instead of “may”) forward copies of the minutes to the Business Committee for endorsement. ASX to publish and distribute final Charter.	ASX	13 Dec 2016
2	13 Dec 2016	Provide members with information on how to access SWIFT MyStandards.	ASX	14 Mar 2017
3	13 Dec 2016	Provide members with an overview of ISO 20022 training options.	ASX/SWIFT	7 Feb 2017
4	7 Feb 2017	Provide members with list of current scope of messages for detailed mapping during first half 2017.	ASX	14 Mar 2017
5	7 Feb 2017	Schedule training webinar for the attendance by members and seek and review feedback after the initial webinar.	ASX / SWIFT	14 Mar 2017
6	7 Feb 2017	Add link to relevant ISO 20022 information websites to the CHES Replacement web page.	ASX	14 Mar 2017
7	7 Feb 2017	Provide more details on access to online education available at swift.com.	SWIFT	14 Mar 2017
8	7 Feb 2017	Provide members with the current list of Market Identification Codes (MICs)	ASX	14 Mar 2017
9	7 Feb 2017	Provide members with more information on the use of BIC vs. UIC as the party identification code.	ASX / SWIFT	14 Mar 2017
10	7 Feb 2017	Market Operators to advise the preferred MIC to be presented in trade related messages as the “Place of Trade”.	ASX, Chi-X, NSX, SSX	6 Jun 2017
11	7 Feb 2017	ASX to conduct analysis on whether the identification of a financial instrument is a fixed value or true value of the proprietary code issuer.	ASX	14 Mar 2017
12	7 Feb 2017	Provide list of proposed code (i.e. condition or BOM) in ISO 20022 format (4 character) mapped against CHES codes.	ASX	14 Mar 2017
13	7 Feb 2017	Add a general CHES Replacement update to the standing agenda for meetings.	ASX	14 Mar 2017
14	7 Feb 2017	Check the next Technical Committee meeting date planned for March and advise members of any change.	ASX	14 Mar 2017
15	14 Mar 2017	Schedule future agenda item to discuss transition arrangements, including any changed values (e.g. party identifiers).	ASX	2 May 2017
16	14 Mar 2017	Create register of matters that may impact upstream, downstream systems or processes, including codes, identifiers and ISO 15022.	ASX	2 May 2017
18	14 Mar 2017	ASX to draft procedures for change requests to usage guidelines and code lists.	ASX	2 May 2017
21	2 May 2017	Provide a list of standard training topics to share. Noted this action item is combined with action item 20.	SWIFT	6 Jun 2017
22	2 May 2017	Provide members with a copy of the presentation material from the trial training webinar held on 27 April 2017.	ASX	6 Jun 2017



No. Meeting	Date	Closed Action Items	Owner	Due Date
24	2 May 2017	Resolve issue with Comments function on MyStandards and advise members when fixed.	ASX/SWIFT	6 Jun 2017
25	2 May 2017	Provide samples of the proposed consolidation and rationalisation scenarios for EIS 138 and EIS 134.	ASX	6 Jun 2017
26	2 May 2017	Provide proposal to broaden the engagement and method to seek feedback on key concepts such as consolidation/rationalisation.	ASX	6 Jun 2017
27	6 Jun 2017	Publish list of comments received on MyStandards with ASX responses regularly, around the time of each meeting.	ASX	18 Jul 2017
28	6 Jun 2017	Re-publish ISO 20022 equivalent of EIS 138 with corrected default value INFO for issuer of financial instrument code.	ASX	18 Jul 2017
29	6 Jun 2017	Review EIS 102 mapped equivalent message with Scott Oakland, JPM – optional inclusion of HIN.	ASX	18 Jul 2017
33	6 Jun 2017	Provide a presentation of CHES EIS mapping to ISO 20022, and typical ISO 20022 flows to assist committee discussion of key topics (e.g. rationalisation, consolidation, descope of certain processes like allegement modify). ASX would also seek input from key members about the best process going forward.	ASX	18 Jul 2017
34	6 Jun 2017	Add the overview of transaction ids to the July meeting agenda.	ASX	18 Jul 2017
31	6 Jun 2017	Sample consolidated (EIS 138) and rationalised (EIS 138 and 134) messages published in the MyStandards community – in a separate collection “Sample Message Review”. Members to review and provide further comments via MyStandards, email.	Members	22 Aug 2017
32	6 Jun 2017	For Cancel/Correct & Modify, ASX recommendation revised to only do cancel/correct for bilateral modifications (and not allow modify – removal of EIS 121). ASX to contact users of EIS 121, and action remains open until all members confirmed their agreement with the recommendation.	ASX, Members	22 Aug 2017
30	6 Jun 2017	Obtain international usage comparisons on the use of UTC time format. Members to provide input from international offices where possible.	ASX, members	22 Aug 2017
35	18 Jul 2017	ASX to publish all final draft usage guidelines in MyStandards and highlight to members those usage guidelines that need their review. SWIFT to advise if a flag is available in MyStandards to indicate particular review items.	ASX, SWIFT	22 Aug 2017
36	18 Jul 2017	Provide members with details of feature in MyStandards to affirm a comment.	ASX, SWIFT	22 Aug 2017
17	14 Mar 2017	Provide further information on party identification for issuers – UIC or BIC and proposed process.	ASX	10 Oct 2017
37	18 Jul 2017	Provide comparisons to other market implementations of transaction ids.	ASX, SWIFT	22 Aug 2017

No.	Meeting Date	Closed Action Items	Owner	Due Date
38	22 Aug 2017	Review consistency of the application of UTC date, date and time, zulu format, and add item to upstream/downstream considerations log re the use of UTC for Trade Date confirmations from AMOs (with flow on impact to EIS 164 equivalent).	ASX	10 Oct 2017
40	22 Aug 2017	Provide list of CHES EIS messages in scope for detailed mapping during 2 <sup>nd</sup> half of 2017, including identification of descoped messages.	ASX	10 Oct 2017
44	10 Oct 2017	ASX project team to consider effective housekeeping of rights that expire worthless – and whether this could be improved.	ASX	21 Nov 2017
45	10 Oct 2017	Review recommendations put to committee in Agenda item 6c) – approach to ISO best practice exceptions and provide feedback to ASX.	Members	21 Nov 2017
46	10 Oct 2017	Review recommendation put to committee in Agenda item 6d) – inclusion of unique event id in Market Infrastructure Tx id (MITI) field.	Members	21 Nov 2017
47	10 Oct 2017	Allow for future use of Party2+ identification in messages, and ensure discussion on same point at working group meetings re business requirement.	ASX	21 Nov 2017
19	2 May 2017	Provide sample of demonstration of comparison between ISO 20022 and ISO 15022 messages.	Scott Oakland, JPM	On hold
23	2 May 2017	Further review of the ASX CHES demand reporting summary and responses to questions contained in that summary. ASX to continue review of reports and provide further candidates for descop at meetings.	Members / ASX	21 Nov 2017
39	22 Aug 2017	Chair to contact members seeking feedback on the approach of the Technical Committee, any suggestions to improve the process.	ASX	21 Nov 2017
41	22 Aug 2017	Conduct bilateral discussions with share registries and mailing houses regarding structuring of registration details and associated static data.	ASX	21 Nov 2017
42	22 Aug 2017	Conduct bilateral discussions with share registries regarding current holding balance changes associated with corporate actions and proposed withdrawal of EIS 421.	ASX	21 Nov 2017
43	10 Oct 2017	Provide a proposed governance method for Technical Committee input to and review of all matters tabled at the Standards Evaluation Group (SEG), including any matters raised by ASX on behalf of community.	ASX	21 Nov 2017
48	21 Nov 2017	Members to review information provided in agenda item 6d) and respond to the question – was there appetite for using xml in model 1b or 2a as presented or keep the mapping 1 to 1.	Members	6 Feb 2018

No.	Meeting Date	Closed Action Items	Owner	Due Date
49	6 Feb 2018	ASX to confirm additional 'as-is' usage guidelines that could be published in Q2 and members to provide expression of interest in reviewing this set.	ASX	17 Apr 2018
50	22 May 2018	Digital Asset to review the NDA regarding the DAML SDK and respond to questions around one way vs. two way.	DA	26 Jun 2018
52	22 May 2018	ASX to give consideration to how it would advise users of any change to the external code lists and report back to members.	ASX	31 Jul 2018
54	26 Jun 2018	Members to review and advise ASX of any feedback on the recommendation that Transaction Date Time (<TxDtTm>) in the sett_101 message is UTC.	Members	31 Jul 2018
55	31 Jul 2018	A member asked where change requests for SR2019 would be visible. The Senior Manager confirmed ASX would send information on where to find the information. The information is also published on MyStandards.	ASX	4 Sep 2018
53	22 May 2018	Members to answer 4 questions if they are considering using a BIC as their party identification: whether they would use a new or existing BIC, whether the BIC was connected or non-connected, whether it was a BIC8 or BIC11, and if that BIC would apply to all activity for that organisation or actor, or for multiple activities. Examples would be helpful.	Members / ASX	9 Oct 2018
56	31 Jul 2018	Provide members with more information on the Corporate Actions STP Phase 2 project.	ASX	9 Oct 2018
57	31 Jul 2018	Members to review the consideration to provide a complete set of settlement obligations (net broker, gross broker - per slide #12 from 31 July presentation) and advise feedback to ASX.	Members	9 Oct 2018
59	31 Jul 2018	Share registries to share findings from study of registration details at the 4 September meeting.	Share registries	9 Oct 2018
61	4 Sep 2018	ASX to ensure coverage of possible scenarios for locking in the requirements, particularly those that are participant driven for certain reasons.	ASX	9 Oct 2018
63	4 Sep 2018	Members to review ASX's recommendations regarding changes to the sett_101 as presented in Agenda item 6d) and provide feedback by 18 September 2018.	Members	18 Sep 2018
51	22 May 2018	ASX to consider how impacted stakeholders could be engaged on the standards for registration details prior to the next meeting.	ASX	27 Nov 2018
58	31 Jul 2018	ASX to publish proposed to be messages for updates to accounts – reda_023, reda_020, reda_021 for member review.	ASX	27 Nov 2018
60	4 Sep 2018	ASX to prepare and publish a consolidated list of all actions and outcomes from Technical Committee meetings, and update after each meeting going forward.	ASX	27 Nov 2018

No.	Meeting Date	Closed Action Items	Owner	Due Date
64	9 Oct 2018	ASX to advise Members the confirmed date for Technical Documentation release in December, and the associated webinar details.	ASX	27 Nov 2018
66	9 Oct 2018	Members to consider any specific topics regarding settlement, holding locks for inclusion in the agenda of the upcoming Focus group and advise ASX.	Members	27 Nov 2018
67	9 Oct 2018	ASX to review level of consolidation for Unilateral and Bilateral settlement instructions usage guidelines.	ASX	27 Nov 2018
68	27 Nov 2018	ASX to provide timeframe for when session with AMOS will be held, and provide sufficient notice to AMOs regarding the agenda and opportunity for AMOs to provide input on that agenda.	ASX	8 Feb 2019
69	27 Nov 2018	Members to provide feedback on principles for adoption of ISO 20022 per agenda item 6b.	Members	8 Feb 2019
71	8 Feb 2019	ASX to review SLAs and the timing of responses to queries submitted to both the CHES Replacement and CSP Support mailboxes, including acknowledging questions where ASX may not currently have an answer.	ASX	26 Mar 2019
72	8 Feb 2019	ASX to consider an AMO's request to join ASX's CHES Replacement community in MyStandards.	ASX	26 Mar 2019
73	8 Feb 2019	ASX to setup a meeting with Registries to further discuss Transfers and Conversions, prior to the Focus Group meeting currently scheduled for 27 February 2019.	ASX	26 Mar 2019
65	9 Oct 2018	ASX to consider if information such as participant party identification and preferences would be available within the node (in addition to published) and confirm to members as part of migration activity.	ASX	7 May 2019
70	8 Feb 2019	Members to provide feedback on where they considered the principles for ISO 20022 adoption not being followed, and ASX to consider how it measures and tests its principles of ISO 20022 adoption from a cost/benefit perspective, and clearly articulate why the changes are proposed.	Members / ASX	7 May 2019
74	26 Mar 2019	ASX to note the comment around re-work on accounts and potential impact on members own circumstances and consideration of slippage. ASX to come back to the committee if any further discussion is required.	ASX	7 May 2019
75	26 Mar 2019	ASX to review and respond to committee members regarding the availability of the access fee information.	ASX	7 May 2019
76	26 Mar 2019	ASX to review the availability of access fee information beyond go live + 3 years, and requested members contact ASX directly on this matter.	Members / ASX	7 May 2019



No.	Meeting Date	Closed Action Items	Owner	Due Date
77	26 Mar 2019	ASX to consider information to be provided to members regarding storage, capture, access of data within CSP and pass through of data.	ASX	7 May 2019
78	26 Mar 2019	Members to provide feedback around account creation and update related messages and information, including what they would and would not find of use in messages from CSP.	Members	7 May 2019
79	7 May 2019	Members to provide feedback on the housekeeping of unmatched DvP and bilateral demand messages end of day (related to Action item 62 – item 1).	Members	28 May 2019
80	7 May 2019	ASX to consider feedback regarding transparency of changes to scope, and consider how it could better bring changes to the Committee's attention.	ASX	28 May 2019
81	7 May 2019	Vendors to provide feedback to ASX if any changes in scope or time delays start to present challenges for their build.	Vendors	28 May 2019
82	7 May 2019	ASX to confirm the date when DAML SDK will be made available for Windows.	ASX	28 May 2019
83	7 May 2019	ASX to consider feedback received regarding the proposed model and messages for Transfer/Conversions and respond to members with final outcomes	ASX	28 May 2019
86	25 Jun 2019	Members who are or act for payment providers to ensure awareness of the changes to payment provider related messages. ASX to consider additional engagement activities with payment providers to ensure awareness.	ASX / Members	23 Jul 2019
87	25 Jun 2019	ASX to consider whether it could expand on the EIS messages contained within each of the business areas in the ISO 20022 Stream – Message Status table. ASX to also consider whether it can provide visibility on the draft messages under review with T2S Evaluation team, as relevant to CHES Replacement.	ASX	23 Jul 2019
84	28 May 2019	ASX will not provide backward compatibility, but will evaluate how to provide better transparency on substantive changes.  <b>25 Jun 2019: Members to provide feedback on commonly used fields they believe are relevant and substantive for ASX to consider how it could provide better visibility on these standard field length and other characteristics.</b>  <b>23 Jul 2019: Additionally, ASX to provide clarity on the reason behind the unit quantity field change, and advise whether it would include decimal values.</b>	ASX / Members	27 Aug 2019
85	28 May 2019	ASX to consider inclusion of investor identity (HIN) to allow a validation pre change of controlling participant transfer.  <b>25 Jun 2019: Members to provide specific feedback regarding mismatches, including statistics on the frequency and where mismatches occur and pose a risk.</b>	ASX / Members	27 Aug 2019



No.	Meeting Date	Closed Action Items	Owner	Due Date
88	23 Jul 2019	ASX to provide details of the draft T2S messages it intended to use.	ASX	27 Aug 2019
89	23 Jul 2019	ASX to consider how it can make the document it publishes capturing member feedback via MyStandards and ASX's responses more user-friendly, including to investigate whether it could be published or emailed as an excel file instead of a PDF.	ASX	27 Aug 2019
90	23 Jul 2019	ASX to confirm within the Reference point products that include takeover offer information.	ASX	27 Aug 2019
91	23 Jul 2019	ASX to provide an update on the status of work being progressed as Business-As-Usual regarding enforcement of turnaround times on the participant side for takeover acceptances.	ASX	27 Aug 2019
92	23 Jul 2019	ASX to consider whether a seev_036 base message could be used in place of pldg_303_semt_015 for confirmation of the bid finalisation trigger.	ASX	27 Aug 2019
93	23 Jul 2019	ASX to consider whether the field 'Accepted for Further Processing' in evt_743_seev_043 should use AUTH for pending, or whether another code would be better suited.	ASX	27 Aug 2019

