Minutes

ISO 20022 Technical Committee Meeting

Date	Friday, 1 November 2019	Time	2.00pm – 4.00pm
Location	ASX Offices – Level 1, 20 Bridge Street, Sydney and via webinar		

1. Welcome, Agenda

2. Minutes from last meeting, open actions

3. Matters for Consideration (Business and Technical Matters)

    a) Focus Group update – Investor details, Corporate actions

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

    c) Dividend / Distribution Election

    d) Distribution Advice Notification

    e) Levy Notification

    f) Payment Facilities

    g) 'To-be' messages for review

4. Standing agenda items

    a) CHESS Replacement project update by ASX

    b) ISO 20022 project update by ASX

    c) Update from Business Committee

5. Next meeting - Tuesday 26 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	
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	
CBA Equities	Darcy Wright		
CBA Equities	Niven Cattanach		
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	

Company	Name	Job Title	Apologies
Citicorp	Andrew Gibson	Director – Head of Direct Custody and Clearing Australia & NZ	
Citicorp	Brett Dennis	Head of Operations – Party Clearing	
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	
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		

Company	Name	Job Title	Apologies
Goldman Sachs	Kenichi Shirasuna		
Goldman Sachs	Calvin Lo		
HSBC Securities Services	Gregory Wilkin	Head of HSBC Operations	
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	
Link Group	Paris Kermanshahi	Project Manager / IT Release Manager	
Link Group	Elvira Hajdarpasic	Technical Analyst	
Link Group	Srinivas Mogula	Technical Analyst	
Link Group	Wing Wong	Solution Architect	
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	

Company	Name	Job Title	Apologies
Morgans Financial	Ed Strike	IT Manager	
Morgan Stanley	Dorothy Wilson	Executive Director, Morgan Stanley Wealth Management, ISG Technology	
Morgan Stanley	Kirsty Venters	VP, Prime Brkrg Funding & Fin Tech	
Morgan Stanley	Oscar Dela Cruz		
Morgan Stanley	Andrew Fielder		
Morgan Stanley	Gordon Davies	VP/Firmwide Ops	
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	Sayantan 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	
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		

Company	Name	Job Title	Apologies
UBS	Phillip Drury	Phillip Drury, Executive Director, Equities IT	Apology
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)	Apology
Gary Hobourn	Senior Economic Analyst, Regulatory and Public Policy	Apology
Con Korkofigas	Senior Legal Counsel and Senior Manager	
Tegan Jones	Senior Legal Counsel	
Rohan Cush	Senior Legal Counsel	
Adriana Wild Taylor	Legal Counsel	
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 (Acting Chair)	
Russell Eyre	Enterprise Architect	Apology
Anne-Marie Fisher-Taylor	Project Subject Specialist	
Sue Julian	Project Subject Specialist	
Fraser Moodie	Manager, Integration and Connectivity, CHESS Replacement	Apology
Frederik Van den Weghe	Head of Product, Equity Post Trade	
Chris Boyes	Lead Business Analyst	
Priscilla Ferri de Barros	Lead Business Analyst, Equity Post Trade	
Sachin Zope	Senior Business Analyst, Equity Post Trade	

The meeting commenced at 2.05pm.

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 1 October 2019 had been finalised, with no comments received. The minutes had been distributed and published on the CHESS Replacement web page.

The Chair noted the outstanding actions from the last meeting, as outlined on ASX presentation slide numbers 5 and 6.

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 be carried forward, given the interdependency on action item 96 and the intention to discuss reporting requirements with this committee at the next meeting. **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 was in continued discussion with the ATO. **This item remains open.**

Action item 95 was for 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. The Head of Product, Equity Post Trade noted this was not explicitly discussed at that (31 October) Focus Group, but that additional detail had been provided as an appendix to the presentation materials and feedback sought from attendees. **This item was closed.**

Action item 96 was for 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. The Head of Product, Equity Post Trade noted ASX's intention to commence the reporting discussion with this committee at the next meeting. A member asked why ASX cancelled the Focus Group on demand reporting, and the Head of Product, Equity Post Trade confirmed demand reporting would be discussed at the next meeting of this committee instead. **This item was closed.**

AGENDA ITEM 3: MATTERS FOR CONSIDERATION

a) Focus Group update – Investor details, Corporate actions

The Head of Product, Equity Post Trade noted that ASX held a Focus Group on 15 October on investor data, with key discussion points outlined on ASX presentation slide number 8. Feedback from the group was due on 31 October and ASX would review that feedback per normal processes.

On 31 October a fourth and final Focus Group was held on corporate actions, as outlined on ASX presentation slide number 9. There was continuing high interest in this topic with robust conversations. Key takeaways would be communicated via email to attendees.

The Head of Product also noted that ASX had communicated with mFund users that morning advising of a change, based on stakeholder feedback, where payment of mFund applications/redemptions would continue to be settled in batch, not RTGS. The use of RTGS for mFund regular payment plans would not be delivered as part of Day 1 scope. Discussions were ongoing around the use of RTGS for mFund transfers, with ASX continuing the work on its end whilst discussions continued.

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

Referring to ASX presentation slide number 10, the Chair advised that ASX received no feedback from members on the mFund application messages shared at the 1 October meeting. The Chair noted that those messages would be amended to incorporate the recent Focus Group feedback and re-presented to the committee.

A member asked about a missing piece of information from the mFund application – the identity of the applicant. The Lead Business Analyst noted this formed part of the Investor Details Focus Group, and ASX would review feedback from that forum before making any changes to messages to be presented to this committee.

c)   Dividend/ Distribution Election

Referring to ASX presentation slide number 11, the Lead Business Analyst provided an overview of the dividend/distribution election functionality. Key changes in the new system were highlighted. Regarding concurrent partial DRP and BSP elections, a member asked how many mFund users do this, noting it was only around 12 issuers who do both for equities and it was presenting ISO complications and the need to store the DRP flag. The Lead Business Analyst clarified that for mFund, a user could only do one partial at a time, and the requirement for this functionality was being driven by equities rather than mFund. Another member noted that a large issuer, Westpac, has a donation plan in addition to DRP and cash. The Lead Business Analyst advised that charitable elections were not in scope.

Referring to ASX presentation slide number 12, the Lead Business Analyst, Equity Post Trade provided an overview of the current CHESS EIS messages (mFund) and their ISO 20022 equivalents, noting that the message consolidation was even greater than represented on the slide because the new version of ISO 20022 messages used for takeover and buyback would also be used for dividend/distribution election, as well as another version for rights issue and SPP (i.e. the same base message would be used for all events). ASX would present a full view of the consolidation once all events had been documented.

Referring to ASX presentation slide numbers 13 to 16, the Lead Business Analyst, Equity Post Trade then walked through the usage of the ISO 20022 messages in business flows for a dividend election (both participant and issuer initiated) and cancel of dividend election (both participant and issuer initiated). The housekeeping of participant initiated dividend elections generated discussion, with a member asking how long until a message got housekept. The ASX Lead Business Analyst confirmed this would be 2 days, consistent with the time period for takeovers, unless ASX received feedback otherwise. Another member asked if that period would be different if the election was near a record date. ASX confirmed not currently, and if the election had not been accepted by the deadline it is not a valid election request. Another member asked what the turnaround time will be for the statuses of accepted and rejected, and the Lead Business Analyst, Equity Post Trade confirmed ASX was still working through that detail, with feedback welcomed. Another member noted the difference compared to a registry initiated takeover acceptance using the same 'bucket' of messages. The Chair encouraged members to provide written feedback via MyStandards on these flows and messages.

Regarding the status on the issuer initiated dividend election, a member asked whether a status of received might be more appropriate than accepted, and the Lead Business Analyst, Equity Post Trade asked the member to provide this written feedback directly in MyStandards.

With reference to ASX presentation slide number 15, a member asked how the cancellation would work in the case of a partial DRP or BSP, and the Lead Business Analyst confirmed overlaying a quantity of a partial election was currently being contemplated as an additional message, but that a change from one partial election to the other required a cancellation of the original partial election and a new partial election of the second. A cancellation did not need to be

sent to move from a full DRP to a partial DRP election (i.e. within the same option), but moving from one election to another required a cancellation.

Referring to ASX presentation slide numbers 17 to 23, the Lead Business Analyst, Equity Post Trade stepped through specific examples of the field level mapping for each message.

Regarding the evnt_742 corporate action election message, and use of supplementary data to include percentage, a member noted they had seen a few DRPs which required election in percentage, with one example requiring election in full percentage only, and another allowing 4 or 6 decimal places on a percentage. The member asked if ASX would issue guidance about full percentage points versus decimal places, or whether it would be up to issuers and registries, and the Lead Business Analyst confirmed ASX had not intended to provide any guidance on this, nor any validations for participants specific to exactly how the issuer had specified the percentage (full percentage points or up to, for example 4 decimal places). The Lead Business Analyst said ASX would consider this point.

A member asked what would happen if a plan were suspended, without any intention to cancel, noting that there would likely not be any cancellation message sent out to participants. Another member noted they would think about suspended plans more and provide feedback to ASX.

d) Distribution advice notification

Referring to ASX presentation slide number 24, the Lead Business Analyst provided an overview of the Distribution Advice Notification. Key changes in the new system were highlighted.

Referring to ASX presentation slide number 25 The Lead Business Analyst, Equity Post Trade explained the one ISO message being used, evnt_744 with base message seev_036, including how it will be used in the distribution advice notification business flow and a sample of select details of the message. Details of the business flow and key message information were provided in reference to ASX presentation slides numbered 26 and 27.

e) Levy notification

Referring to ASX presentation slides numbered 28 to 31 The Senior Business Analyst, Equity Post Trade explained the 'to-be' message consolidation table, noting that the sett_132 message was using a draft semt_044 base message. Depending on when ASX received feedback from the Securities Evaluation Group, the messages may be published with supplementary data, or with all elements inside the message (if the draft message gets accepted). The Senior Business Analyst, Equity Post Trade then outlined the levy notification/levy reversal business flow, and specific examples of the field level mapping for the message.

f) Payment facilities

Referring to ASX presentation slide number 32, the Lead Business Analyst provided an overview of enhancements to payment facilities. A member asked whether the changes would apply to mFund, and the Lead Business Analyst confirmed that was correct. Referring to ASX presentation slides numbered 33 to 36 The Senior Business Analyst, Equity Post Trade explained the 'to-be' message consolidation table, use of the message in the payment facilities create/update/cancel business flow and specific examples of the field level mapping for the message.

g) 'To-be' messages for review

Referring to ASX presentation slide number 37, the Senior Business Analyst, Equity Post Trade noted that the messages discussed today would be published shortly after the meeting, with feedback requested by 15 November.

AGENDA ITEM 4: STANDING AGENDA ITEMS

a) CHESS 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) for which the environment was being taken down that day and available again on Tuesday 5 November 2019. The CDE4 release notes would also be published on Tuesday 5 November.

Two business requirements had been de-scoped, in addition to those discussed at the last meeting. Give-ups/take-ups and early settlement would not be implemented on Day 1, with further consideration required for implementation post Day 1.

The next tranche of technical documentation for release was related to CDE6, on track for release at the end of November.

ASX released its fifth CHESS Replacement project newsletter on 23 October.

On the stakeholder engagement front, a Connectivity and Integration Working Group was held on 9 October on security and Ledger API updates, and the next meeting was scheduled for 20 November. An AMO Working Group was held in October, to discuss AMO connectivity (all via FIX gateway). An Implementation and Transition Working Group webinar was held on 25 October, at which ASX outlined the key activities including connectivity, industry wide testing, technical accreditation, operational readiness, migration, dress rehearsals, attestation, and milestones for the next 18 months. The recording and presentation were published on the website, and the working group meetings would continue going forward.

b) ISO 20022 project update by ASX

The Chair provided an update on the ISO 20022 project. Topics in progress for 'to-be' mapping included mFund, settlement (unit fails), holding adjustment, corporate actions and payment facilities.

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 earlier that week. The T2S Evaluation Team had been on a break for a few months, with the next meeting scheduled for 12 November, which ASX would join.

Regarding ASX's Business Application Header (BAH) change request, ASX had received confirmation that version 2 of the BAH had been approved and put in the repository, and ASX had been asked to provide sample messages to assist with testing. The Chair advised that ASX would consider the appropriate time to release the message externally.

ASX was now considering what it would do with its business justification for the new give-up messages, given this functionality had been de-scoped from Day 1.

The Chair referred to ASX presentation slide number 41, which demonstrated the progress with mapping in scope EIS 'as-is' messages (a total of 420 messages) covered in 'to-be' drops (200 EIS equivalent messages as at end October 2019) as well as additional drafts shared with this committee (an additional 17 EIS equivalent messages). Combined, progress was at approximately 52% completion, and taking into consideration EIS messages that are candidates to be de-scoped (an estimated additional 93 EIS messages), the actual completion rate was closer to 74%.

ASX would also publish updates to the EIS to ISO 20022 Cross Reference Guide the following week, containing updated information on de-scoped EIS messages.

c)   Update from Business Committee

The Chair advised that the next Business Committee meeting was scheduled for 27 November, with the agenda including updates on ASX's Corporate Actions Straight Through Processing (STP) Phase 2 project, the CHESS Replacement project and an Operations update.

AGENDA ITEM 5: NEXT MEETING

The Chair thanked members for their contributions to the meeting and noted no actions from the meeting. The Chair encouraged members to provide feedback on the published messages, and associated processes via MyStandards.

The next meeting would be held on 26 November 2019 in Sydney, with proposed topics to be confirmed but likely to include reporting.

The meeting closed at 3.40 pm.

Signed as a correct record of the meeting.

_____   26/11/19
                                         _____
Technical Committee Chair (Acting)   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	ASX to review 1. the intended timing for housekeeping of unmatched messages, any standardisation opportunities for timing. **(this item was closed, given related action item #79 was also closed)** 2. whether settlement requests could be future dated. **(this item was closed – ASX response that future dating would not be supported**) 3. ASX would also consider the visibility of holding locks to issuers on an intra-day basis.	ASX	26 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	26 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 Dec2016	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 CHESS 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 CHESS codes.	ASX	14 Mar 2017
13	7 Feb 2017	Add a general CHESS 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 CHESS 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 CHESS EIS messages in scope for detailed mapping during 2nd 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 CHESS demand reporting summary and responses to questions contained in that summary. ASX to continue review of reports and provide further candidates for descope 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 CHESS 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 CHESS 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 CHESS 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. **25 Jun 2019: Members to provide feedback on commonly used fields they believe are relevant and substantive for ASX to consider how it could provide better visibility on these standard field length and other characteristics.** **23 Jul 2019: Additionally, ASX to provide clarity on the reason behind the unit quantity field change, and advise whether it would include decimal values.**	ASX / Members	27 Aug 2019
85	28 May 2019	ASX to consider inclusion of investor identity (HIN) to allow a validation pre change of controlling participant transfer. **25 Jun 2019: Members to provide specific feedback regarding mismatches, including statistics on the frequency and where mismatches occur and pose a risk.**	ASX / Members	27 Aug 2019

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 evnt_743_seev_043 should use AUTH for pending, or whether another code would be better suited.	ASX	27 Aug 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