

Minutes

ISO 20022 Technical Committee Meeting

Date	Tuesday, 26 March 2019	Time	3.00pm – 5.00pm
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Location	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. **CHESS Replacement project update by ASX**
4. **ISO 20022 project update by ASX**
5. **Update from Business Committee**
6. **Matters for Consideration (Business and Technical Matters)**
 - a) Follow up meeting & Focus Group outcomes – Transfers & Conversions
 - b) Account creation, modification, report
 - c) Review of 'to-be' messages
 - d) Focus Group outcomes
7. **Next Meeting - Tuesday 7 May 2019**

Technical Committee Members

Company	Name	Job Title	Apologies
Australian Payments Network Limited	Andy White	Chief Operating 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	
CBA Equities	Joel Cox	Technical Business Analyst	
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	
Citicorp	Lyall Herron		
Citicorp	Janice O'Brien	Markets & Securities Services Technology	

Company	Name	Job Title	Apologies
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	Application Support Manager	
Deutsche Securities	Kevin Novini		
Digital Asset	Fil Mackay	Senior Product Architect	
Dion Global Solutions	Craig Gray	Product Manager – Australia and NZ	
Dion Global Solutions	Nikki Gleisner	Account Manager	
GBST	Sue Schafer	Product Owner	
GBST	Khanh Le	Systems Architect	
Goldman Sachs	Darrel Schwarz	Technology Vice President	
Goldman Sachs	Josh Rice		
Goldman Sachs	Nidhi Luthra		
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	

Company	Name	Job Title	Apologies
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	Robert Watson	IT Architect, Technology & Innovation Division	
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	
Morgan Stanley	Andrew Sime		
Morgan Stanley	Emily Krezlewski	Operations	
NAB Asset Management	Suresh Chinnappa	Head of Custody Service Operations	
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	

Company	Name	Job Title	Apologies
Nomura Research Institute	Diptesh Chakraborty	Solution Architect	
Northern Trust	Yen Pan Chung	Senior BA, Market Advocacy and Innovation Research	
Northern Trust	Pawel Kalbrun		
Securitease	Anton Smith	Director	
Securitease	Chris Werry	Business Analyst	
Securitease	Angela Losurdo	Business Systems Analyst	
SWIFT Standards	Nicole Jolliffe	Senior APAC Standards consultant	Apology
Sydney Stock Exchange	Leo Zhang	Manager – Market Control	
Sydney Stock Exchange	Omar Obol	Market Control Officer	
Sydney Stock Exchange	Antony Tolfts	Listing Director	
UBS	Phillip Drury	Phillip Drury, Executive Director, Equities IT	
UBS	Duncan Earl	Executive Director, Head of Change, UBS Group Operations	
UBS	Neil Martin	IT – Project Management	
Wealthhub Securities	James Channon	Manager, Capital Markets Trading	
Wealthhub Securities	Alona Ma		

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	
Tegan Jones	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	
Russell Eyre	Enterprise Architect	Apology
Anne-Marie Fisher-Taylor	Project Subject Specialist	
Fraser Moodie	Manager, Integration and Connectivity, CHES Replacement	Apology
Frederik Van den Weghe	Head of Product, Equity Post Trade	
Karen Hamilton	Manager, Business Analysis	
Priscilla Ferri de Barros	Senior Business Analyst, Equity Post Trade	
Sachin Zope	Business Analyst, Equity Post Trade	
Ashley D'Souza	Business Analyst, Equity Post Trade	

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, noting and thanking a number of members had travelled for various meetings with ASX.

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 8 February 2019 had been finalised, with comments received from two members. 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 slides numbered 5 and 6 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 continued to collect information via various forums, and at a later point in time ASX will offer further ISO training for the industry. ASX will be guided by this committee as to appropriate timing. **This item remains on hold.**

Action item 62 part 1) was for ASX to review the intended timing for housekeeping of unmatched messages, any standardisation opportunities for timing; and part 3) ASX would also consider the visibility of holding locks to issuers on an intra-day basis. The Chair explained ASX was still not in a position to respond in detail, and **the first and third parts of this action remain open.**

Action item 65 was for 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. The Chair advised that ASX is considering this but did not have a definitive position at this point in time, and **this item remains open.**

Action item 70 was for 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. The Chair advised that ASX had received constructive feedback from members with regard to the cost/benefit analysis, and how it was being applied and measured. ASX had not received any further feedback concerning the principles for ISO 20022 adoption since the 8 February committee meeting, and the Chair welcomed feedback prior to the next meeting. At the next meeting ASX intends to play back to the committee the measures it applies and how ASX considers change with regard to the principles. **This item remains open.**

Action item 71 was for 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. The Senior Manager, Equity Post Trade Services, reiterated the purpose of the two project mailboxes now being used, and advised that both are administered daily by ASX staff. All email queries are being triaged, and sent to an expert for review where relevant. Where ASX anticipates a response will take more than one day to respond, ASX will acknowledge via return email receipt of the query. The Chair added that a committee member had noted a couple of instances where the SLA of distribution of the committee presentation one week prior to the meeting had not been met recently. The Chair acknowledged this was a fair point to raise, however historically ASX has generally met the one week SLA on many occasions. The complication of late has been the short amount of time between the relevant Focus Group meeting and this committee meeting. The Chair advised that ASX will be proactive in communicating any delays to the availability of the presentation material, via email, and ASX is confident it will be able to, at a minimum, provide members with the meeting agenda one week prior to the meeting date. **This item was closed.**

Action item 72 was for ASX to consider an AMO's request to join ASX's CHES Replacement community in MyStandards. The Chair advised that access had been provided, and **this item was closed.**

Action item 73 was for 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. The Chair advised that this meeting had occurred, and provided valuable feedback. **This item was closed.**

A member noted on page 8 of the minutes of the 8 February 2019 meeting their comments about revisions and versioning of the technical documentation, and the minimal evidence of revision marks in the technical documentation update published on 13 March 2019. The Manager, Business Analysis advised that for the next tranche of technical documentation, released later this week, changes will be marked in bright orange so that it is clear where existing documentation has been amended. ASX will also make the Release Notes as specific as possible. ASX was also exploring the possibility of downloading existing/previous content as PDFs, and will continue to investigate how Confluence version control could be used going forward.

AGENDA ITEM 3: CHESS REPLACEMENT PROJECT UPDATE BY ASX

The Chair invited the General Manager, Equity Post Trade Services to provide an update on the project.

The General Manager noted that the overall project schedule was on track for a March/April 2021 go live and ASX continued to hit its project milestones.

Regarding technical documentation, over 400 people from a large number of different organisations have now registered for the documentation. All registered users would have recently received an email with an update to the technical documentation. This included releasing application forms for the Customer Development Environment (CDE), which could be downloaded and returned to ASX should your organisation want to be able to connect to CDE from late April. The General Manager noted that CDE is a development environment both from an ASX and participant perspective. Each participant, user or vendor will be provided access to their own dedicated test environment, and drop one will support all key connectivity options – direct access, AMQP and SWIFTNet. The next drop of technical documentation was on track to be released at the end of this week. This drop would include functional specifications for trade capture, trade registration and novation and payment facilities for batch settlement.

The General Manager reminded the committee that for anyone who had yet to register, and would like to access the technical documentation, the link could be found on the ASX CHESS replacement home page.

ASX recently released information on system access costs to connect to the CHESS replacement system for Clearing and Settlement Participants, including direct (distributed) ledger access via a DLT node. The General Manager stressed that these access costs are not the clearing and settlement fees, which continue to be under development.

Finally, with reference to ASX presentation slide 7, the General Manager talked to the numerous stakeholder engagement activities conducted this year.

The Connectivity & Integration working group had looked at ISO message signing, ASX Net on boarding, and an overview of CDE and the application process. This working group would continue to meet monthly, with future topics to include infrastructure requirements, direct connectivity and ISO to DAML, and AMQP design patterns. Agenda items for the next few meetings had been updated on the CHESS replacement web page.

The Implementation & Transition working group commenced the previous week via webinar, with participation from 120 individuals. The purpose of the working group was to develop a market-wide implementation and transition plan and act as a key forum to help guide all stakeholders in defining and shaping their own individual implementation and transition plans. This would include migration rehearsals. The kick-off webinar walked through the purpose of the group and guiding principles, working group future topics, key milestones, data migration considerations, and early discussion of accreditation and operational readiness. Membership of this working group included any stakeholder who is impacted by CHESS replacement, and customers had been asked to nominate key contacts for this ongoing forum.

ASX had also been holding focus groups on specific solution design for new business requirements, in advance of releasing the associated technical documentation. Technical documentation was released approximately three months

prior to the associated code release in the CDE. An update on the recent focus group discussions would be provided later in today's agenda.

The stakeholder engagement calendar of events had been updated to provide further guidance on future topics across all streams of engagement.

The Chair also noted the recent appointment of Yuval Rooz as Chief Executive Officer of Digital Asset.

A member queried when they could expect further details on the changes to account creation, given that it had been around one month since vendors were told to 'down tools' on development of the previously published messages. The General Manager, Equity Post Trade Services noted that the detail behind the solution design which ASX brought to the focus group was still being analysed by ASX, and at this point in time ASX did not have a target date for the account creation update to be made available. ASX was working towards providing this information as soon as possible, but it would not be included in the next (second) tranche of technical documentation. The member followed up by asking how the timelines could not shift given the change, or was ASX expecting vendors and participants to absorb those delays. The General Manager, Equity Post Trade Services noted that the project timeline ASX had published had not changed, and from ASX's perspective, all milestones were continuing to be met. The Chair sought clarification whether the member was concerned that the account creation update would impact the member's ability to meet the project schedule/timeframe, to which the member clarified they could not be sure at this point in time, without visibility of the changes. The member noted that their vendor had already created the messages, prior to notification of the change of approach. The General Manager, Equity Post Trade Services acknowledged these concerns raised, and noted ASX was balancing these against being responsive to the feedback it received and had hence decided to remove the account creation functionality from CDE code drop 1. The member noted that account creation was such a pivotal element of future testing, and that this complicated testing going forward. The Chair noted these concerns, but re-iterated that the fundamental change being discussed was raised through this committee and feedback from various Focus Groups was still being solicited.

Another member reiterated the concerns that there had been a loss of analysis and development time.

The Chair noted that even if there was slippage, members should expect contingency in the project timeframes. The Chair asked if any other members shared the view that these changes could cause slippage. No responses were provided. The Chair noted an action for members to provide a response if they did have concerns. **(Matters arising 1 – Action item 74)**

With regard to fees, a member sought clarification as to whether clearing and settlement fees would be the same regardless of connectivity option, even if one method were more verbose than another. The General Manager, Equity Post Trade Services confirmed this was correct. The member added that currently charges were incurred per message, so this would be a departure from current practice. The General Manager, Equity Post Trade Services confirmed that ASX was exploring different pricing options – not necessarily transaction-based pricing options – and ASX had noted that in some instances a greater than 1:1 relationship existed between ISO 20022 messages and EIS messages. The member sought clarification that when a participant is deciding which access option to pursue, the future clearing and settlement fees are not a material input into that decision as pricing will be equivalent independent of access options. The General Manager, Equity Post Trade Services, confirmed that clearing and settlement fees would be neutral to connectivity method/access.

A member queried whether the clearing and settlement access fee information had only been made available to clearing and settlement providers, or had the information been shared more broadly. The General Manager, Equity Post Trade Services confirmed that the communication from ASX was sent to clearing and settlement participants, that ASX had shared the information with others (non clearing and settlement participants) as requested to date, and that currently ASX did not intend to publish that information further. The Chair confirmed that ASX would review and respond to committee members regarding the availability of the access fee information. **(Matters arising 2 – Action item 75)**

A member noted that ASX's access fee pricing information did not provide clarity on direct access pricing post fee-holiday period. The General Manager, Equity Post Trade Services acknowledged this, and reiterated that as per ASX's

communication there would be no fee for direct access connectivity for three years from go-live date, and that ASX would advise, during that three year period, fees (if any) for direct access after the initial three year period. Another member queried whether this meant fees for direct access would not be known until 2024, and the General Manager, Equity Post Trade Services confirmed this was not correct, that ASX would advise direct access fees prior to 2024 (sometime between 2019 and 2024). Another member asked whether ASX could clarify whether direct access fees would be less than or equal to AMQP connectivity. The General Manager, Equity Post Trade Services confirmed ASX could not confirm that at this point in time. Two members noted that this made it very difficult for participants to make a long-term investment decision. The Chair acknowledged this feedback, with ASX to take away the comments about difficulties in making a long-term investment decision. The Chair suggested that this discussion is deviating from the purpose of this committee and separate engagement could be had with the General Manager, Equity Post Trade Services on this matter outside of this committee. **(Matters arising 3 – Action item 76)**

AGENDA ITEM 4: ISO 20022 PROJECT UPDATE BY ASX

The Senior Manager, Equity Post Trade Services provided an update on the ISO 20022 project. Top priority of late had been the accounts, transfers and conversions changes since the last committee meeting. Other ongoing streams of work included Corporate Actions, mFund, settlement and holding management.

On the global ISO 20022 engagement front, ASX had continued to join the monthly meetings of the ISO 20022 Securities Standards Evaluation Group (SEG). The most recent meeting was held on 25 March 2019, and that group was considering a large number of changes globally. ASX would need to perform detailed planning to ensure its changes fit into the global landscape of changes being considered by the SEG, particularly for the new messages ASX might need to develop and have approved. ASX had already submitted a business justification for a proposed set of new messages, and continued to work with the ISO 20022 Registration Authority in the first instance to provide guidance on when ASX would intend to develop those messages, seek review and seek registration. ASX had been waiting for the next batch of draft T2S messages to review via the T2S Evaluation Team, a sub group of SEG. Finally, the Senior Manager, Equity Post Trade Services noted with regard to the Business Application Header (BAH) change request submitted by ASX, that a number of other change requests had been submitted for the BAH, hence ASX's change request was somewhat 'on hold' whilst all of the various groups convened to discuss all of the change requests. ASX remained optimistic that its change request would be successful.

A member asked when ASX would provide visibility on what the Corporate Actions messages would be (CUM balance, holding adjustments etc.). The Head of Product, Equity Post Trade advised that ASX would likely commence engagement via a Focus Group on Corporate Actions related topics in June 2019.

AGENDA ITEM 5: UPDATE FROM BUSINESS COMMITTEE

The Chair noted that the Business Committee had not met since November 2018, and would next convene in April 2019. An update on the CHES replacement project will be provided, along with an update on the performance of the post trade environment, and the Corporate Actions STP Phase 2 project.

AGENDA ITEM 6: MATTERS FOR CONSIDERATION

a) Follow up meeting & Focus Group outcomes – Transfers & Conversions

The Head of Product, Equity Post Trade provided an update on activity since the last committee meeting on the topic of Transfers and Conversions, including subsequent Focus Groups on accounts and holders. ASX had received substantial feedback from both this committee and the Focus Groups requesting changes. ASX had taken this feedback into consideration, and would use today's meeting to run the committee through the proposed new account and holder model.

b) Account creation proposal

The Manager, Business Analysis, summarised ASX's proposed new approach to accounts and holders, in response to feedback that the originally proposed solution to have multiple separate messages to create holders and accounts

introduced too much complexity. ASX's proposed new approach was to maintain the existing data model, separating holders and accounts, however consolidate the message to create holder(s) and account. Consolidation of messages to provide holder(s) and account information to Controlling Participant and Issuers would also occur. Only relevant information would also be passed to Issuers relating to the transaction or business process.

Referring to ASX's presentation slide number 13 regarding the proposed end-to-end flow for account creation, the Manager, Business Analysis explained that when on boarding Investors, Participants would continue to capture all holder and account details within a structured format ensuring they are compliant with regulatory and legislative requirements. Participants would no longer be required to manipulate or collect additional information to facilitate the creation of an account on the new Clearing and Settlement Platform (CSP); the original details collected could be used to create the account. Benefits of this included that the message to create accounts separated the attributes into the different elements – delimiting characters no longer needed to be used, restrictions on the number of characters to be used no longer existed, and it was an additional step in standardisation of how the information was collected.

CSP would create holder(s) and the account using the details provided by the Participant. Information would be maintained at both the holder object and account object. CSP would provide all account and holder details to the Issuer when: a new holding balance was created; account details were updated; or a holding balance was reduced to zero. The Issuer would continue to use those details to maintain the register of members and communicate to Investors. Brokers would no longer be required to manipulate or collect alternative details when on boarding clients.

Referring to ASX presentation slide numbers 15 and 16, the Manager, Business Analysis noted that ASX's originally proposed solution for holder and account creation, from an end-to-end message flow perspective, required minimum of two and maximum of five messages, compared to the two messages of the proposed new solution. This change was in response to constructive feedback from stakeholders. A similar change was proposed for reports and notification, again in response to constructive feedback from stakeholders. ASX's originally proposed solution required minimum of two and maximum of five messages, whereas the proposed new solution requires one.

Referring to ASX presentation slide number 17, the Manager, Business Analysis noted the large number of functions that relied upon the registration details, each of which would incorporate the new solution for holder and account creation. The technical documentation published to date had been for the originally proposed solution, and ASX was currently working to update that documentation to reflect the new solution.

A member asked whether, when performing accreditation testing, they would be expected to test in their capacity as both an equities registry and mFund collectively. The Head of Product, Equity Post Trade noted that the Implementation & Transition Working Group would consider this in detail, and indeed preparatory planning work had already commenced.

The member also noted ASX had proposed initially seeding the CDE environment with holder data and whether this implied ASX would be storing Tax File Numbers (TFNs) going forward. The Head of Product, Equity Post Trade noted that ASX had this week updated the information of future Focus Group topics on its CHES Replacement webpage, and the topic of investor information had been flagged as a topic ASX would like to discuss with the market in the second half of 2019. The member noted their question really went to the issue of control of data, and that they would need better information before the end of 2019, given how critical this information is to the daily workings of their organisation. The Head of Product, Equity Post Trade acknowledged this feedback and committed to considering how ASX could provide the requisite certainty sooner. **(Matters arising 4 – Action item 77)**

With reference to the list of functions on ASX presentation slide number 17, a member noted that a number of these functions appeared to be replicating what happened with CHES EIS messages in today's world. If an Issuer is aware of the registration details of an Investor as they become an Investor in a stock, and as their details change through the term of their journey as an Investor in the stock, why would registries need to be informed of locking and unlocking of accounts and holders, and the registration details when a holders balance goes to zero. If the details are already up to date, and they go to zero, what would the registry need to know about their details after that. The Business Analyst, Equity Post Trade advised that the notifications sent to Issuers (or any parties) will only contain relevant information. In

the example of the zero holding balance, CSP would only provide the account identifier/HIN, Security Code and reason for the notification – none of the registration details would be included in that scenario. The member noted that every interaction with CSP had a responsibility under ASX's Settlement/Operating Rules, hence having an obligation for something that is of no use to registries sets up the need to have their systems cater for that obligation (even if the party has no use for that correspondence with the CSP). Should there be any changes, would ASX be re-sending all information or only publishing the changes that were updated. The Chair proposed that feedback be sought from the committee whether receipt of this type of information was of value (across the industry, or perhaps on a customised basis) before the next meeting. **(Matters arising 5 – Action item 78).**

Referring to ASX presentation slides numbered 18 to 28, the Senior Business Analyst, Equity Post Trade stepped through the details of the relevant messages and message flows for account creation, account update, account confirmation and account report, including a comparison to the existing EIS messages. The new registration details would be incorporated across all functions in CSP. The clear division between account attributes and holder attributes within the messages was expounded. The choice components, for both primary and joint owners, were highlighted for the acct_001, acct_002 and acct_003 messages.

A member asked whether CSP would tie a transfer instruction to the account so that the details come through together, side by side, from a message flow perspective. The Senior Business Analyst, Equity Post Trade confirmed that this was correct – first the participant would need to send the account creation, then the transfer, then CSP would link on the response back the account report with the transfer.

With reference to ASX presentation slide 22, a member queried which of the account and holder attributes ASX would expect to be optional or business mandatory, if combined together. The Business Analyst, Equity Post Trade confirmed that business logic existed within the message, for example if you elected for a communication preference of electronic, you must provide an email address. There was also business logic with regard to residency indicators, depending on account types – this information would be contained within the technical documentation (including whether that information would be passed through to the registry), and ASX was not departing from how things worked in CHES today on this matter. The member suggested mobile number was a departure from existing practice, as mobile number was not an option in CHES today, and that email address were rarely communicated via CHES. The Business Analyst, Equity Post Trade confirmed both of these qualifications were correct – mobile number was being introduced as an additional attribute for electronic communication preference, but on the holder attribute side the only mandatory elements are type and name.

With reference to ASX presentation slide 26, a member noted that during the establishment of CHES there were specific reasons for not recognising trusts or funds in a register. Recognising that this holder is omnibus for both cash market and mFunds, the member asked how Issuers would be protected from the need to understand the nature of a trust or fund before they accepted registration of a trust or fund. The Business Analyst, Equity Post Trade confirmed that CSP would continue to not allow trusts to be an organisation type for sponsored direct settlement or accumulation entrepot accounts. The reason for the expanded list of organisation types on ASX presentation slide 26 is to facilitate the transfer of tax information for transfers, incorporated in the transfers and conversions message suite and also the creation of the registration identifier which collects this information which CSP provides to the registries. ASX would continue not to allow the word trust, or any other words that mean trust (as custodian for, as trustee for) within the account designation, as occurs in CHES today.

The member stated that by inclusion of the types Trust and Superannuation Fund the Issuer would be on notice, and asked how the Issuer would be protected from having to understand the nature of the Trust or Superannuation Fund. The Business Analyst, Equity Post Trade noted that within the designation field there is a list of words/phrases/acronyms that would not be supported, based on the existing list in CHES today, and invited feedback on any additional words/phrases/acronyms that committee members felt needed to be included in that list. The member suggested it wasn't the name, rather that CSP was telling the Issuer that it was a Trust or Superannuation Fund, that was the issue. The Business Analyst, Equity Post Services reiterated that holder type for a sponsored, direct, settlement entrepot or accumulation entrepot account could only be an individual or a company. If a participant created a sponsored, direct,

settlement entrepot or accumulation entrepot account with the other holder types (not individual or company), CSP would reject the account creation request. Another member noted they would have their team review this matter in detail and revert to ASX.

A member asked with regard to the Foreign Residency Indicator whether this was at the account level. The Head of Product, Equity Post Trade confirmed this was correct. The member followed up by enquiring about how their obligation to supply residency per holder for mFunds (changes introduced as part of CHES10) would fit within ASX's proposed new solution. The Business Analyst, Equity Post Trade noted that at that point in time the Foreign Residency Indicator indicated foreign investment restrictions on the security, not at the holder level. Once ASX had further progressed its work on mFunds, it would be in a position to provide further information about where it would sit at the holder level. The member noted that ASX's proposed solution presented in this meeting would be built upon as further analysis (in this case on the matter of mFunds) was progressed.

A member enquired about what account holder types would support more than one holder being provided, their understanding being only joint accounts. The Business Analyst, Equity Post Trade confirmed that only sponsored accounts would have the ability to be created as joint accounts (between 1 and 4 holders). For those joint accounts the member clarified whether they would all be holders of type = individual person (i.e. no company or organisation in a joint account). Another member added that registries see both joint accounts as an individual person, and joint accounts as an organisation. The Business Analyst, Equity Post Trade confirmed that CSP would not restrict joint holdings between individuals, rather joint holdings could also be between individuals and companies.

Referring to ASX presentation slides number 29 and 30, the Business Analyst, Equity Post Trade then stepped through ASX's proposed approach to the mapping of account information within the acct_001 (acmt_001) message. It was noted that acct_001 (acmt_001), acct_002 (acmt_002) and acct_003 (acmt_003) all had a similar structure, and hence the mapping of account information across all three messages would be very similar.

The Business Analyst, Equity Post Trade noted that once the account creation request was submitted to the CSP, a HIN or registration identifier would be created, depending on the type of account created, and up to four holders, again depending on if it was a single holding or joint account. The HIN or registration identifier (as applicable) would be populated in the investment account identification field, up to 15 characters long with the prefix 'RGID' used to delineate use of a registration identifier. A unique holder identifier file would be created and mapped at account parties and client identification level.

A member asked a question regarding TFNs, stating that presently they received a character associated with a TFN indicating the type of account it was, and seeking clarification whether the list of account types presented by ASX earlier would be used going forward instead. ASX confirmed the Holder Type replaces the Investor Type value that is included in the TFN/ABN field of the EIS message. The member also asked whether ASX would be storing TFNs, mobile phone numbers as part of account creation. The Head of Product, Equity Post Trade advised that ASX was yet to determine the settings for stored vs. passed data items.

c) Review of 'to-be' messaging

Referring to ASX presentation slide number 32, the Business Analyst advised that the to-be message Ids discussed at today's meeting would be published on 4 April 2019, within a collection named 'ASX_AU_CHS_draft_acct'. Member feedback was requested, via comments in MyStandards, by 16 April 2019. ASX would provide a summary of responses at the next committee meeting.

d) Focus Group outcomes

The Head of Product, Equity Post Trade noted that three Focus Group meetings had occurred since the last committee meeting.

On 12 March 2019, ASX continued discussions with the Equity Settlement Payment Providers Steering Committee (ESPPSC) on real-time payment options, and put forward its preferred real-time payment proposal for line-by-line settlement (effectively to re-purpose and streamline the Real Time Gross Settlement (RTGS) offering). ASX had

requested feedback on its proposed solution by 28 March 2019. Feedback from the ESPPSC that CHESSEIS 332 and 333 messages were used in processing was taken on board, with those batch settlement messages to be retained in CHESSE replacement.

A member asked whether payments in this context included payments for rights offers etc., and when they could expect further information on what the messaging and process flows might involve. The Head of Product, Equity Post Trade confirmed that ASX had disambiguated between the service that would be invoked to process a payment, and the use cases that invoke that service. Three use cases were proposed in the 2018 Consultation Paper: mFunds; bilateral DvP and exercise of application monies. Bilateral DvP was discussed at a Focus Group in 2018, while mFunds and Corporate Actions related topics had yet to be discussed at a Focus Group (but would be in 2019). The Head of Product, Equity Post Trade clarified that the area of interest for this particular Payments Focus Group was the connectivity and service that was invoked when a real-time payment needed to be made. A member noted that Payment Providers had no history of dealing with Issuers on capital markets transactions, ever, and hence they would not necessarily understand the flows coming through CSP for an Issuer. The member added that they would be a recipient of funds rather than a payer of funds, so the behaviour of the banks would likely be quite different. The Head of Product, Equity Post Trade reiterated the extensive engagement with Payment Providers which commenced in 2018 and continues throughout 2019 on this topic, and that payment related discussions would be folded into the Corporate Actions related topics as applicable.

On 19 March 2019 and 26 March 2019, ASX conducted Focus Groups on registration details, with participants and registries, and vendors respectively. Feedback was requested by 2 April 2019, any requests for extensions to that deadline were requested to be advised as soon as possible via CHESSEReplacement@asx.com.au.

The next Focus Group meeting would be held on 10 April 2019, on the topic of transfers and conversions and SRN enquiry.

A member asked how people who were not invited to participate in a particular Focus Group, and who found out about the topic after the fact, are expected to participate in the types of discussions being had in this committee today. The Head of Product, Equity Post Trade acknowledged this point, and reiterated why the particular cohorts were invited to each of the Focus Group sessions held since the last committee meeting. ASX considered it had consulted broadly with stakeholders who would be affected by the change on both of the topics of the relevant Focus Groups. The Head of Product, Equity Post Trade invited specific feedback from the member if they disagreed. The General Manager, Equity Post Trade Services added that prior to these Focus Groups ASX had embarked upon wider consultation to gather requirements, and the purpose of these Focus Groups was to elicit targeted feedback on solution design prior to the release of technical documentation. ASX was grateful for the offers of participation from a wider audience, and very much valued the feedback it received, but capacity was limited to satisfy all requests for participation. The member noted that all industry participants were working towards a replacement or better solution for CHESSE and that we could not afford further delays to gathering requirements. The Head of Product, Equity Post Trade reiterated that the project was now solutions focused.

A member noted ASX was seeking feedback by 2 April 2019 from the Focus Group and was then moving on to the consideration of transfers and conversions when it next met. In the meantime, members were being asked for feedback on account messages. The member asked if ASX saw any tension there with participants not getting the full view of all associated business processes before being required to provide feedback. The Head of Product, Equity Post Trade noted that whilst ASX provided a due date for feedback from each Focus Group, requests for extensions would always be offered, preferably with advanced notice to ASX of the requested extension to the deadline. The General Manager, Equity Post Trade Services added that in the specific case of account creation, given that this was a revised solution ASX expected participants would have sufficient information to provide feedback.

A member sought clarification with regard to account creation holder information, whether ABN and TFN was contained within a single field within the message, or whether they would be split into separate fields. The Business Analyst, Equity Post Trade noted CSP would collect tax information, separated first by country for the purposes of taxation, and then a tax identification number which could be populated with either TFN or ABN – i.e. one field for any identification number,

as well as the relevant country for the purposes of taxation. The member noted all of the work that had been done to separate out registration details into a separate field, and questioned whether it would be similarly helpful or consistent to separate out ABN and TFN in separate fields. The Business Analyst, Equity Post Trade noted that ASX's proposed solution was consistent with global practice. The member noted the length was 35 characters, but ABN and TFNs were considerably shorter, and asked whether this was appropriate. The Business Analyst, Equity Post Trade confirmed the reason for the larger field was to accommodate tax identifiers in foreign jurisdictions.

AGENDA ITEM 7: NEXT MEETING

The Senior Manager, Equity Post Trade Services thanked members for the constructive discussion throughout the meeting, and noted a number of existing actions and new actions from the meeting, as would be noted in the minutes and action list.

The Senior Manager, Equity Post Trade Services confirmed actions arising from the meeting:

- ASX to note the comment around re-work on accounts and potential impact on members own circumstances and consideration of slippage. ASX would come back to the committee if any further discussion is required;
- ASX would review and respond to members regarding the availability of access fee information to committee members;
- ASX would review the availability of access fee information beyond go live + 3 years and asked members to contact ASX directly with any further queries;
- ASX to explore what further certainty it could provide to members around storage, capture and access of data within CSP, or pass through of data.
- Members to provide feedback around account creation related messages and information, including what they would and would not find of use in those messages.

The next meeting would occur on 7 May 2019 in Sydney, and ASX was targeting hosting the following meeting on 28 May 2019 in Melbourne.

The meeting closed at 4.35pm.

Signed as a correct record of the meeting.



Technical Committee Chair

1 MAY 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	ASX to review <ol style="list-style-type: none"> 1. the intended timing for housekeeping of unmatched messages, any standardisation opportunities for timing, 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	May 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	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 and ASX	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	May 2019
75	26 Mar 2019	ASX to review and respond to committee members regarding the availability of the access fee information.	ASX	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 and ASX	May 2019
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	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	May 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

No. Meeting Date	Closed Action Items	Owner	Due Date
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
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

No. Meeting Date	Closed Action Items	Owner	Due Date
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
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 CHESSEIS messages in scope for detailed mapping during 2 nd half of 2017, including identification of descope 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

No. Meeting Date	Closed Action Items	Owner	Due Date
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 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
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

No. Meeting	Date	Closed Action Items	Owner	Due Date
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 settl_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
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

No. Meeting Date	Closed Action Items	Owner	Due Date
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