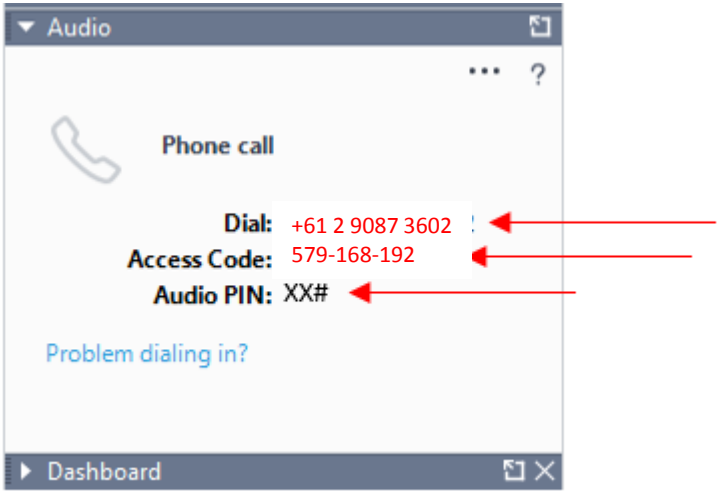
ISO 20022 Technical Committee Meeting

7 April 2020

ASX

Joining by webinar

Please note that ASX is using the GoToWebinar platform for this meeting. Details provided by email. Once you have registered and clicked on the link to join the webinar you will need to join the audio by phone, not PC. Each attendee will have a unique PIN assigned, as shown below.
Please follow any instructions to check your system, PC.



Attendee Participation

Join audio:

- Choose Telephone and dial using the information provided
- You will need the unique 2 digit audio pin to ask questions.

If you are not speaking during the meeting, please mute your phone

Important information – Competition Law Policy

Committee members are reminded to have regard to their obligations under competition law. In particular, please note recent changes to the Competition and Consumer Act to prohibit a corporation from engaging with one or more persons in a concerted practice that has the purpose, effect or likely effect of substantially lessening competition.

Agenda

1. Agenda overview

2. Minutes from last meeting, open actions

3. Matters for Consideration:

- 3a Review of member feedback on published 'to-be' messages
- 3b Reporting
- 3c Cancelled funds obligation (default management) and close out notification
- 3d Holding administration lock
- 3e DRP enquiry
- 3f 'To-be' messages for review

4. Standing agenda items:

- 4a CHESS Replacement project update by ASX
- 4b ISO 20022 project update by ASX
- 4c Update from Business Committee

5. Closing

2. Minutes and actions

Minutes for 25 February 2020 meeting published on CHESS Replacement web page. Open action items:

#	Meeting Date	Open Action Items	Owner	Due Date	Status
20	2 May 2017	Provide details of a proposed plan including potential topics for the remaining training webinars for feedback, including identification of business vs. technical topics.	ASX	On hold	Propose to close
103	10 Dec 2019	ASX to clarify the timing of the housekeeping message in the entitlement election (participant initiated) flow, for which the payment gets rejected before the deadline, and whether it could be done as close to RITS end-of-day as possible. At 28 January meeting ASX agreed it would consult with payment providers whether they did want the message housekept or rolled over to the next day (assuming the next day was before applications close day). ASX also agreed it would consider whether the 4.30pm cut-off for corporation action refunds is necessary (or could be operationally received and scheduled for a future date).	ASX	7 Apr 2020	Propose to close
105	10 Dec 2019	ASX to confirm whether an RTGS payment for an entitlement could be processed whilst the daily settlement batch was running. **25 Feb 2020:** ASX to confirm the activities not permitted during batch settlement, and ASX to collate data on average batch settlement times over the past 12 months.	ASX	7 Apr 2020	Propose to close
110	28 Jan 2020	ASX to consider whether and if so, how to provide greater visibility for a registry re CHESS Transaction ID used in a corporate action entitlement to verify that a holder acquired the rights being accepted on. **25 Feb 2020:** ASX to provide update on potential regulatory relief or guidance for rights acquired after the record date.	ASX	7 Apr 2020	Propose to close

2. Minutes and actions

#	Meeting Date	Open Action Items	Owner	Due Date	Status
111	25 Feb 2020	(1) Payment provider and settlement participant members to provide feedback on the projection reports ASX proposes to de-scope. (2) ASX to consult with ESPPSC on its proposed de-scoping of projection reports	Members/ ASX	7 Apr 2020	Propose to close
112	25 Feb 2020	Further consultation and consideration on account changes related to account creation for migration purposes.	ASX	7 Apr 2020	Propose to close
113	25 Feb 2020	Members to provide feedback via MyStandards if they need Business Processing Date on outbound messages – i.e. is the change necessary?	Members	7 Apr 2020	Propose to close

3. Matters for consideration

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

Updated

Messages shared during Technical Committee on 25 Feb 2020:

- **Reporting**
  - Comments on 6 guidelines by 4 members (1 Vendor, 3 Participants)
  - Total of 26 comments received
- **Account Cancellation and changes to account messages for migration purpose**
  - Comments on 2 guidelines by 3 members (1 Vendor, 2 Participants)
  - Total of 7 comments received
- **Payment Provider Funds Transfer**
  - Comments on 2 guidelines by 2 members (1 Participant, 1 Payment Provider)
  - Total of 3 comments received
- **Updates to BAH to include Business Date**
  - Comments on 1 guideline by 2 members (1 Vendor, 1 Participant)
  - Total of 2 comments received

3b Reporting

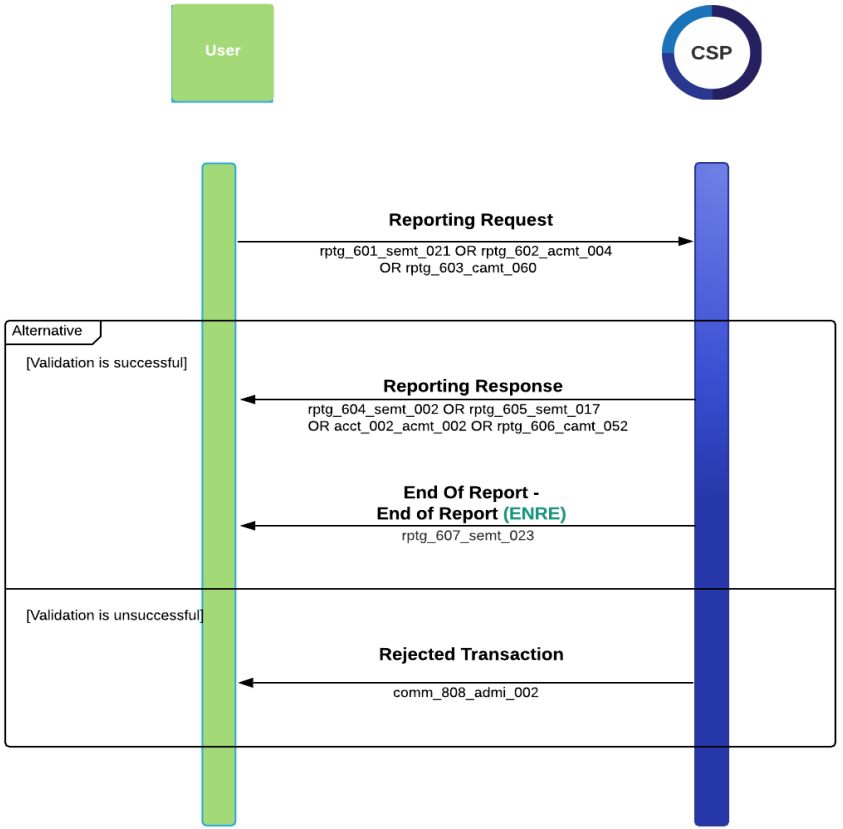
‘To-be’ message consolidation table

Report Type	Report Id	Report Id (to-be)	EIS number Request	ISO 20022 Request	ASX message Id Request	EIS number Response	ISO 20022 Base Message	ASX message Id Response
ad-hoc	HBL	**HBAL** (HoldingBalance)	503	semt_021	rptg_601 Holding Balance Reporting Request	508 522 803	semt_002	rptg_604 Holding Balance Report
ad-hoc	HSB	**HSBL** (HoldingSubpositionBalance)	503			502		
ad-hoc/ EOD	CEB	**CEBL** (CumEntitlementBalance)	503			504 520		
EOD	TSB	**TSBL** (TotalSecurityBalance)	503			532 833		
EOD	TCB	**TCEB** (TotalCumEntitlementBalance)	503			524		
EOD/ ad-hoc	HMV	**HMVT** (HoldingMovement)	503			510 831	semt_017	rptg_605 Net Movement Report
EOD/ ad-hoc	CMV	**CEMV** (CumEntitlementMovement)	503			506		
ad-hoc	HRD HLD	Account Notification	503	acmt_004	rptg_602 Account Notification Reporting Request	512 222	acmt_002	acct_002 Account Notification
ad-hoc	CFB	**CFBL** (Counterparty Funds Balance)	503	camt_060	rptg_603 Counterparty Funds Balance Reporting Request	158	camt_052	rptg_606 Participant Counterparty Balance Report

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Notification	538 - End of Reporting	rptg_607	semt_023	End of Report	CSP	User
Notification	542 - CHESS Event Notification	sett_170	admi.004.001.02	Event Notification	CSP	User
Acknowledge	526 - Accepted Reporting Request	descoped				
Rejection	518 - Rejected Transaction	comm_808	comm_807	Rejected Transaction	CSP	User
Notification	300 - Participant Funds Notification 301 - Payment Provider Funds Notification same as 310 and 311	sett_133	DRAFT1camt.089	Funds Obligation	CSP	User

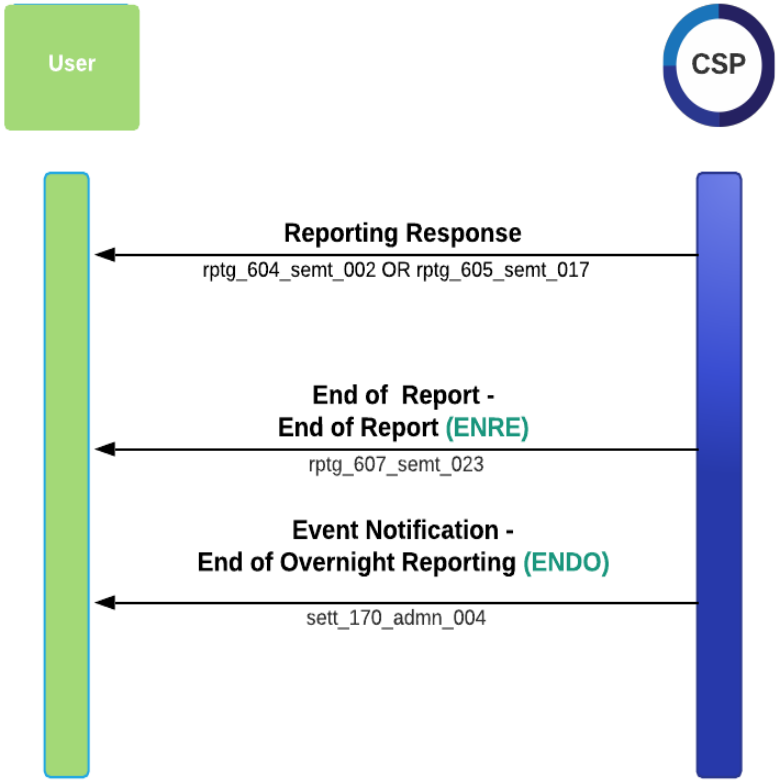
3b Reporting

Reporting flow (ad-hoc)



3b Reporting

Reporting flow (EOD)



3b Reporting

rptg_607_semt_023 (End Of Report)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Securities End Of Process Report V01 (semt.023.001.01)	<SctiesEndOfPrcRpt>			
1	Report General Details	<RptGnlDtls>	[1..1]		
2	Query Reference	<QryRef>	[0..1]		
3	Query Reference	<QryRef>	[1..1]	text{1,35}	
2	Report Identification	<RptId>	[0..1]	text{1,35}	T/C
3	Cum Entitlement Balance			CEBL	
3	Cum Entitlement Movement			CEMV	
3	Holding Balance			HBAL	
3	Holding Movement			HMVT	
3	Holding Subposition Balance			HSBL	
3	Total Cum Entitlement Balance			TCEB	
3	Total Security Balance			TSBL	
3	Counterparty Funds Balance			CFBL	
2	Report Date Time	<RptDtTm>	[1..1]	Choice	
3	Date	<Dt>	[1..1]	date	
2	Notice Type	<NtceTp>	[0..1]		[1..1]
3	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
3	Issuer	<Issr>	[1..1]	text{1,35}	T/C
4	XASX			XASX	
1	Supplementary Data	<SplmtryData>	[0..*]		[0..1]
2	Place And Name	<PlcAndNm>	[0..1]	text{1,350}	
2	Envelope	<Envlp>	[1..1]		T/C
1	Additional Report Parameters	<AddtlRptParams>	[1..1]		A
2	Corporate Action Event	<CorpActnEvt>	[0..1]	text{1,35}	(A)
2	Financial Instrument Identification	<FinInstrmId>	[0..1]		(A)
3	ISIN	<ISIN>	[0..1]	text [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}	(A) [1..1]
3	Other Identification	<OthrId>	[0..*]		(A) [1..1]
4	Identification	<Id>	[1..1]	text{1,35}	(A)
4	Type	<Tp>	[1..1]	Choice	(A)
5	Proprietary	<Prtry>	[1..1]	text{1,35}	(A)
3	Description	<Desc>	[0..1]	text{1,140}	(A)
2	Report Entries Count	<RptNtriesCnt>	[0..1]	0 <= decimal td = 11 fd = 0	(A)

rptg_607_semt_023

Transaction Id (1..1)

Report Type (1..1)

Creation Date Time (1..1)

Event Type Code (1..1)

- ENRE (End of Report)

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

Corporate Action Event (0..1): Corporate Action Event Id|Corporate Action Type|Ex Date

- Not populated in case of Ad-hoc

Report Entries Count (1..1)

3b Reporting

sett_170_admi_004 (Event Notification)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	System Event Notification V02 (admi.004.001.02)	<SysEvtNtfctn>			
1	Event Information	<EvtInf>	[1..1]		
2	Event Code	<EvtCd>	[1..1]	text{1,4} [a-zA-Z0-9]{1,4}	T/C
2	Event Parameter	<EvtParam>	[0..*]	text{1,35}	[0..1]
2	Event Time	<EvtTm>	[0..1]	dateTime	T/C

sett_170_admi_004

Event Type Code (1..1)

- ENDO (End Of Overnight Reporting)

Transaction Id (1..1)

3b Reporting

Margin Settlement Amount Notification & Change

Daily Margin Settlement Amount Notification

ASX Clear generates a Clearing Participant's daily margin obligations as part of End of Day processing and a Margin Settlement Advice is sent to the Clearing Participant from the CSP. The Margin Settlement Advice enables the Clearing Participant to determine their required margin settlement cash flow for that business day, as the advice will include all cash balances, collateral and margin details.

Change Margin Settlement Amount

Allows the Participant to amend the amount of excess cash held with ASX Clear by specifying a new settlement amount. The new Settlement Amount will override any previous instruction or standing instruction and applies to the immediate cash market margining settlement only.

ASX Clear responds to authorise a Participant's request to change their margin settlement amount that is to be held, and includes the new settlement amount and new resulting cash balance after the change has been effected.

3b Reporting

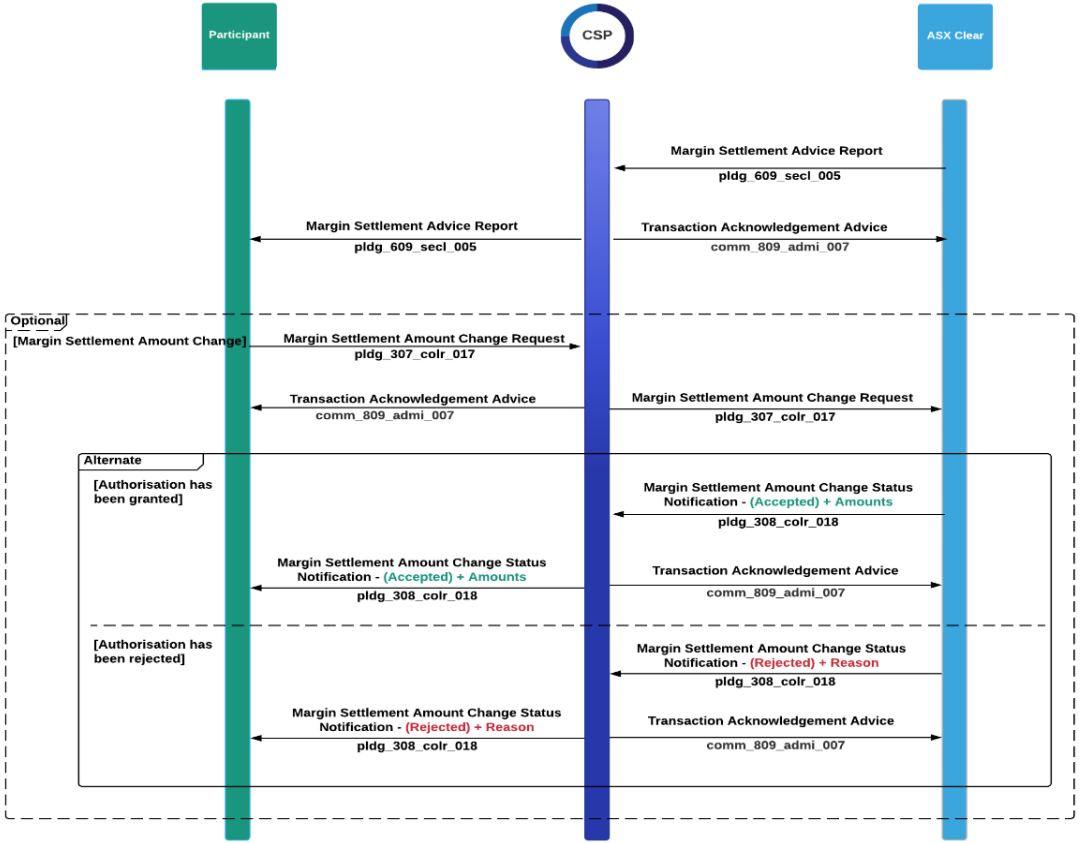
‘To-be’ message consolidation table

Updated

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Notification	917 - Margin Settlement Notification 942 - Margin Settlement Advice	pldg_309	secl_005	Margin Settlement Advice	CSP ASX Clear	Participant CSP
Request	921 - Margin Settlement Amount Change Request 944 - Margin Settlement Amount Change Authorisation Request	pldg_307	DRAFT1colr_017	Margin Settlement Amount Change Request	Participant CSP	CSP ASX Clear
Status	923 - Margin Settlement Amount Change Authorisation 925 - Margin Settlement Amount Change Rejection 946- Accepted Margin Settlement Amount Change Request 948 - Effected Margin Settlement Amount Change 950 - Rejected Margin Settlement Amount Change	pldg_308	DRAFTcolr_018	Margin Settlement Amount Change Status Notification	ASX Clear CSP	CSP Participant

3b Reporting

Margin Settlement flow



3b Reporting

pldg_309_secl_005 (Margin Settlement Advice)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Margin Report V02 (secl.005.001.02)	<MrgnRpt>			
1	Report Parameters	<RptParams>	[1..1]		
2	Report Identification	<RptId>	[1..1]	text{1,35}	
2	Frequency	<Frqcy>	[1..1]	text	T/C
3	Intraday			INDA	
3	End of Day			EDAY	
3	Update to End of Day			UEDA	
3	Reporting			RPTG	
1	Clearing Member	<ClrMmb>	[1..1]	Choice	
2	BIC	<BIC>	[1..1]	text [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]([A-Z0-9]{3,3}){0,1}	
2	Proprietary Identification	<PrtryId>	[1..1]		
3	Identification	<Id>	[1..1]	text{1,35}	T/C
2	Margin Calculation	<MrgnClctn>	[1..*]		[1..1]
3	Total Margin Amount	<TtlMrgnAmt>	[1..1]		
4	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
3	Margin Result	<MrgnRslt>	[0..1]	Choice	[1..1]
4	Excess Amount	<XcssAmt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
4	Deficit Amount	<DfcitAmt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
3	Margin Type Amount	<MrgnTpAmt>	[0..1]		[1..1]
4	Initial Margin	<InitlMrgn>	[0..1]		[1..1]
4	Other Margin	<OthrMrgn>	[0..*]		[1..1]
5	Amount	<Amt>	[1..1]		

pldg_309_secl_005 [917, 942]

Transaction Id (1..1)

Notification Type (1..1)

Participant Identifier (1..1)

Settlement Amount (1..1)

Choice Excess Amount and Shortage Amount (1..1)

Initial Margin (1..1)

Other Margin (1..1)

ASX

3b Reporting

pldg_309_secl_005 (Margin Settlement Advice)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Margin Report V02 (secl.005.001.02)	<MrgnRpt>			
1	Supplementary Data	<SplmtryData>	[0..*]		[1..1]
2	Place And Name	<PlcAndNm>	[0..1]	text{1,350}	
2	Envelope	<Envlp>	[1..1]		T/C
1	Additional Report Parameters	<AddtlRptParams>	[1..1]		A
2	Margin Payment Date	<MrgnPmtDt>	[1..1]	date	(A)
2	Cash Movement	<CashMvt>	[0..1]		(A)
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	(A) T/C
2	Resultant Cash Balance	<RsltntCashBal>	[0..1]		(A)
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	(A) T/C
2	Opening Cash Balance	<OpngCashBal>	[1..1]		(A)
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	(A) T/C
2	Excess Cash Standing Instruction	<XcssCashStgInstr>	[0..1]		(A)
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	(A) T/C
2	Closing Cash Balance	<ClsgCashBal>	[1..1]		(A)
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	(A) T/C
2	Resultant Excess Cash	<RsltntXcssCash>	[0..1]		(A)
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	(A) T/C

pldg_309_secl_005 [917, 942]

Margin Payment Date (1..1)

Cash Payment / Withdrawal (1..1)

Resultant Cash Balance (1..1)

Cash Balance Brought Forward(1..1)

Excess Cash Standing Instruction (1..1)

Cash Balance Carried Forward(1..1)

Resultant Excess (1..1)

ASX

3b Reporting

pldg_307_DRAFT1colr_017(Margin Settlement Amount Change Request)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Excess Cash Margin Instruction V01 (DRAFT1colr.017.001.01)	<XcssCshMrgnInstr>			
1	Request Header	<ReqHdr>	[1..1]		
2	Message Identification	<MsgId>	[1..1]	text{1,35}	
2	Request Type	<ReqTp>	[1..1]	Choice	
3	Code	<Cd>	[1..1]	text	
4	Immediate Margin Settlement			MRGS	
2	Initiating Party	<InitgPty>	[0..1]		
3	Identification	<Id>	[0..1]	Choice	[1..1]
4	Organisation Identification	<OrgId>	[1..1]		
5	Any BIC	<AnyBIC>	[0..1]	text [A-Z]{6,6}[A-Z2-9][A-NP-Z0-9]{(A-Z0-9]{3,3}){0,1}	
5	Other	<Othr>	[0..*]		[0..1]
6	Identification	<Id>	[1..1]	text{1,35}	T/C
2	Initiating Party Transaction Identification	<InitgPtyTxId>	[0..1]	text{1,35}	[1..1]
1	Excess Cash Margin Settlement Instruction	<XcssCshMrgnSttlmInstr>	[1..1]		
2	Market	<Mkt>	[1..1]	Choice	
3	Description	<Desc>	[1..1]	text{1,35}	T/C
4	CMM			CMMC	
2	Instructed Amount	<InstdAmt>	[0..1]		[1..1]
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
4	Xml Attribute Currency	<Ccy>		text [A-Z]{3,3}	
3	Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
4	Credit			CRDT	
4	Debit			DBIT	

pldg_307_DRAFT1colr_017 [921, 944]

Participant Identifier (1..1)

Transaction Id (1..1)

Market (1..1)

- CMM (CMMC)

Settlement Amount (1..1)

3b Reporting

pldg_308_DRAFT1colr_018 (Margin Settlement Amount Change Status Notification)

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Excess Cash Margin Instruction Status Advice V01 (DRAFT1colr.018.001.01)	<XcssCshMrgnInstrStsAdvc>			
1	Request Header	<ReqHdr>	[1..1]		
2	Message Identification	<MsgId>	[1..1]	text{1,35}	
2	Creation Date Time	<CreDtTm>	[0..1]	dateTime	[1..1]
2	Initiating Party Transaction Identification	<InitgPtyTxId>	[0..1]	text{1,35}	[1..1]
1	Processing Status	<PrcgSts>	[1..1]	Choice	
2	Accepted	<Accptd>	[1..1]	Choice	
3	Amounts	<Amts>	[1..1]		
4	New Resultant Excess	<NewRsltntXcss>	[1..1]		
5	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
6	Xml Attribute Currency	<Ccy>		text [A-Z]{3,3}	
5	Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
6	Credit			CRDT	
6	Debit			DBIT	
4	New Settlement Amount	<NewSttlmAmt>	[1..1]		
5	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
6	Xml Attribute Currency	<Ccy>		text [A-Z]{3,3}	
5	Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
6	Credit			CRDT	
6	Debit			DBIT	
2	Rejected	<Rjctd>	[1..1]	Choice	
3	Reason	<Rsn>	[0..*]	text	[1..1]
4	Amount Shortage			SHRT	
4	Settlement Locked			LCKD	
4	Non Existent Standing Instruction			NESI	
4	Maximum Exceeded			MAXE	

pldg_308_DRAFT1colr_018 [923, 925, 946, 948 and 950]

Transaction Id (1..1)

Status: <Accepted>
New Resulting Excess (1..1)

Settlement Amount (1..1)

Status: <Rejected>
Rejected Change Reason(1..1)

3c Cancelled funds obligation (default management) and close out notification

- Settlement Participants notified to close out source settlement obligations which cause a settlement shortfall in batch settlement, 2 business days after the original settlement date
  - Source settlement obligations – where the delivering account cannot meet their obligation
  - Settlement Participants who have failed as a result of another Settlement Participant will not receive a close-out notification

- Where a source settlement obligation continues to fail (2 business days after the original settlement date), the Settlement Participant will receive a close-out notification each day

- Close-out notification is sent after the completion of batch settlement

- Basis of movement removed from the close-out notification

3c Cancelled funds obligation (default management) and close out notification

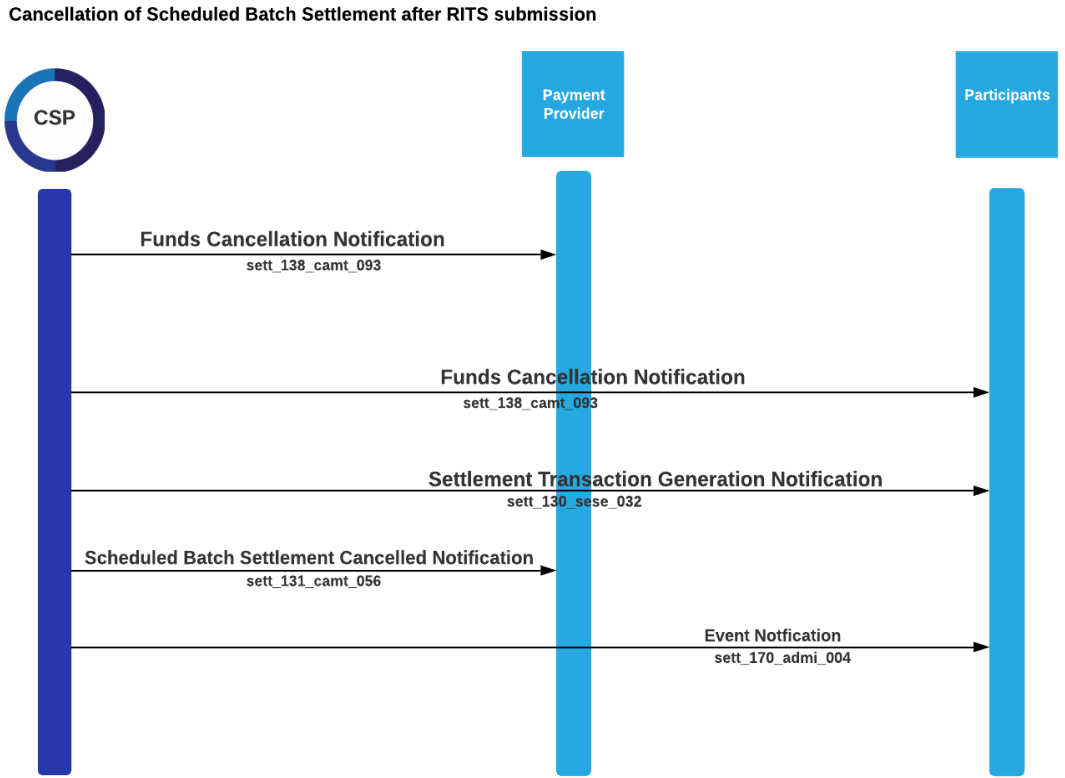
Updated

- Where batch settlement is cancelled (after the funds authorisation (sett_133) are sent by the CSP) and Participants were notified of their funds obligation, Participants will be notified that their funds obligation is cancelled
  - 2 scenarios where batch settlement may be cancelled:
    - Rejection received for one or more Payment Facilities from a Payment Provider
    - Payment Service (RITS) rejection received by CSP

- This cancelled funds obligation notification is in addition to the other cancellation notifications and all settlement obligations will be rescheduled to the next settlement date

3c Cancelled funds obligation (default management) and close out notification

Updated



3c Cancelled funds obligation (default management) and close out notification

‘To-be’ message consolidation table

Updated

Message Type	EIS	Message Id	ISO 20022 base message	Message Name	From	To
Notification	154 - Cancelled Funds Obligation	sett_138	DRAFT1camt_093	Funds Cancellation Notification	CSP	Participant
Request	554 - Close Out Notification same as EIS 162	sett_129	sese_024	Suspended Settlement Instruction	CSP	Participant

3c Cancelled funds obligation (default management) and close out notification

sett_138_DRAFT1camt_093 Funds Cancellation Notification

Updated

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Cash Obligation Cancellation Notification V01 (DRAFT1camt.093.001.01)	<CshOblgtnCxlNtfctn>			
1	Report Parameters	<RptParams>	[1..1]		
2	Settlement Date	<SttlmDt>	[1..1]	Choice	
3	Date	<Dt>	[1..1]	date	
1	Cancelled Obligation	<CancOblgtn>	[1..1]		
2	Net Position Identification	<NetPosId>	[1..1]	text{1,35}	
2	Cash Account	<CshAcct>	[0..1]		[1..1]
3	Identification	<Id>	[1..1]	Choice	
4	Other	<Othr>	[1..1]		
5	Identification	<Id>	[1..1]	text{1,34}	T/C
5	Issuer	<Issr>	[0..1]	text{1,35}	[1..1] T/C
6	XASX			XASX	
2	Authorised Amount	<AuthrsdAmt>	[0..1]		[1..1]
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
4	Xml Attribute Currency	<Ccy>		text [A-Z]{3,3}	
3	Credit Debit Indicator	<CdtDbtInd>	[1..1]	text	
4	Credit			CRDT	
4	Debit			DBIT	

sett_138_DRAFT1camt_093 [154]

Settlement Date (1..1)

Transaction Id (1..1)

Payment Facility Identification (1..1)

Authorised Amount (1..1)

3c Cancelled funds obligation (default management) and close out notification

sett_129_sese_024 Suspended Settlement Instruction

Updated

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Securities Settlement Transaction Status Advice V08 (sese.024.001.08)	<SctiesSttlmTxStsAdvc>			
1	Transaction Identification	<TxId>	[1..1]		
2	Account Owner Transaction Identification	<AcctOwnrTxId>	[1..1]	text{1,35}	
1	Processing Status	<PrcgSts>	[0..1]	Choice	
2	Proprietary	<Prtry>	[1..1]		
3	Proprietary Status	<PrtrySts>	[1..1]		
5	Suspended			SUSP	
3	Proprietary Reason	<PrtryRsn>	[0..*]		[1..1]
4	Reason	<Rsn>	[0..1]		[1..1]
6	Subregister Closed			SUBC	
1	Settlement Status	<SttlmSts>	[0..1]	Choice	
2	Failing	<Flng>	[1..1]	Choice	
3	Reason	<Rsn>	[1..*]		[1..1]
4	Code	<Cd>	[1..1]	Choice	
5	Proprietary	<Prtry>	[1..1]		
6	Identification	<Id>	[1..1]	text [a-zA-Z0-9]{4}	T/C
7	Close Out Notification			CLON	
1	Transaction Details	<TxDtls>	[0..1]		
2	Safekeeping Account	<SfkpgAcct>	[1..1]		
3	Identification	<Id>	[1..1]	text{1,35}	T/C
2	Financial Instrument Identification	<FinInstrmId>	[1..1]		
3	ISIN	<ISIN>	[0..1]	text [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}	[1..1]
3	Other Identification	<OthrId>	[0..*]		[1..1]
2	Settlement Quantity	<SttlmQty>	[1..1]	Choice	
3	Quantity	<Qty>	[1..1]	Choice	
4	Unit	<Unit>	[1..1]	decimal td = 18 fd = 17	
2	Settlement Amount	<SttlmAmt>	[0..1]		[1..1]
3	Amount	<Amt>	[1..1]	0 <= decimal td = 18 fd = 5	T/C
2	Settlement Date	<SttlmDt>	[1..1]	Choice	
3	Date	<Dt>	[1..1]	Choice	
4	Date	<Dt>	[1..1]	date	
2	Securities Movement Type	<SctiesMvmntTp>	[1..1]	text	
3	Delivery			DELI	
3	Receive			RECE	
2	Payment	<Pmt>	[1..1]	text	
3	Separate Settlement			FREE	
3	Against Payment Settlement			APMT	
2	Settlement Parameters	<SttlmParams>	[1..1]		
3	Securities Transaction Type	<SctiesTxTp>	[1..1]	Choice	

sett_129_sese_024 [554]

Transaction Id (1..1)

Suspended Status (0..1): Only used in case of Suspend Settlement Instruction not closed out

<Falling> (0..1): Mandatory in case of Close Out Notification

- **Reason: Close Out Notification**

Transaction Details Block (0..1): Mandatory in case of Close Out Notification

- **Account Identification (1..1)**
- **Security Code and ISIN (1..1)**
- **Outstanding Unit Quantity (1..1)**
- **Outstanding Settlement Amount (1..1)**
- **Original Settlement Date (1..1)**
- **Security Movement (1..1)**
- **Payment (1..1)**
- **Transaction Basis (1..1)**

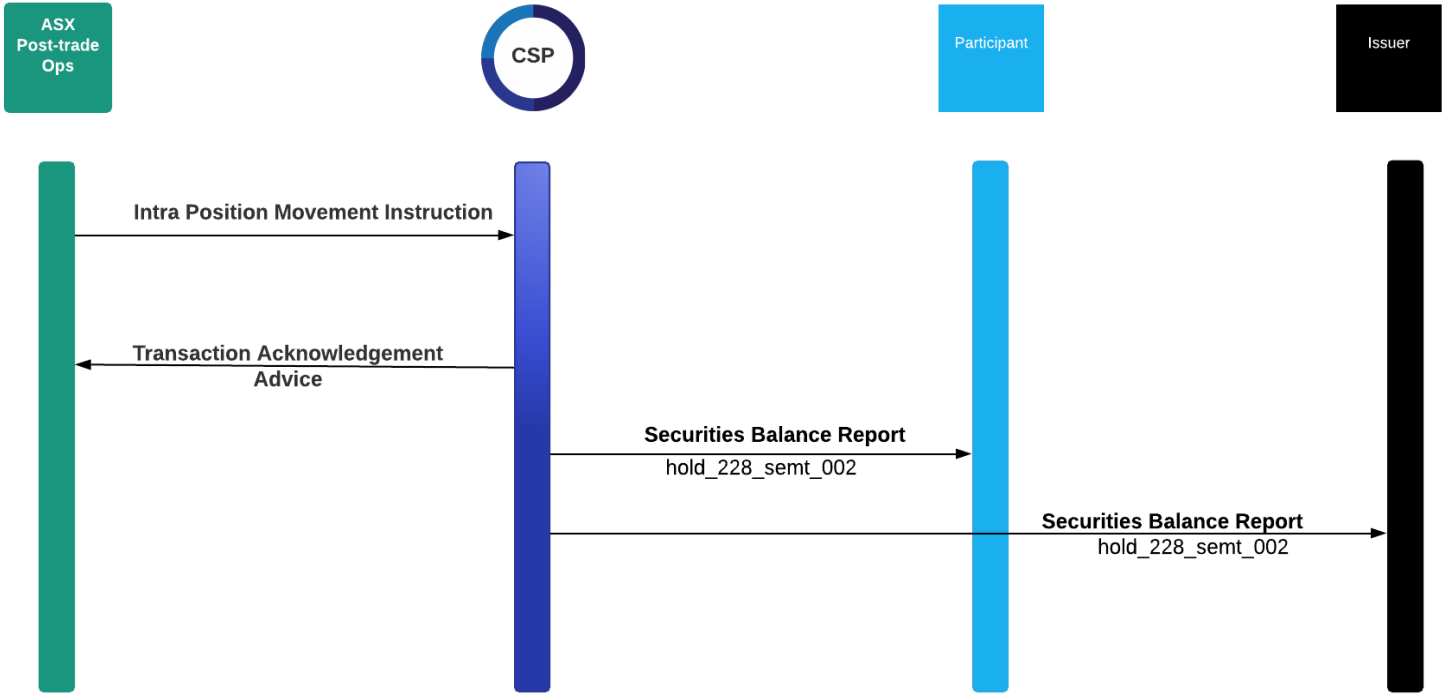
ASX

3d Holding Administration Lock

- Requestor (Issuer, Registry, Controlling Participant, Regulator, Law Enforcement, ASX)
- Written request to be made to ASX Operations requesting a holding administration lock/unlock
- 3 reasons:
    - Subject to Court Order – where the holding administration lock is supported by a court document
    - Action by ASX Operations – where internal ASX procedures require the holding to be locked
    - Non-specific – where a reason stated above is not relevant or the reason is required to be with-held due to privacy
- Holding administration lock can be for the total available balance or a portion of the available balance
- Units held in an administration lock cannot be used to satisfy settlement obligations, transfers or conversions
- Both Issuer (Registry) and Controlling Participant will be notified when a holding administration lock is applied, updated or removed

3d Holding Administration Lock

Message Flow



3e DRP/BSP Election Enquiry

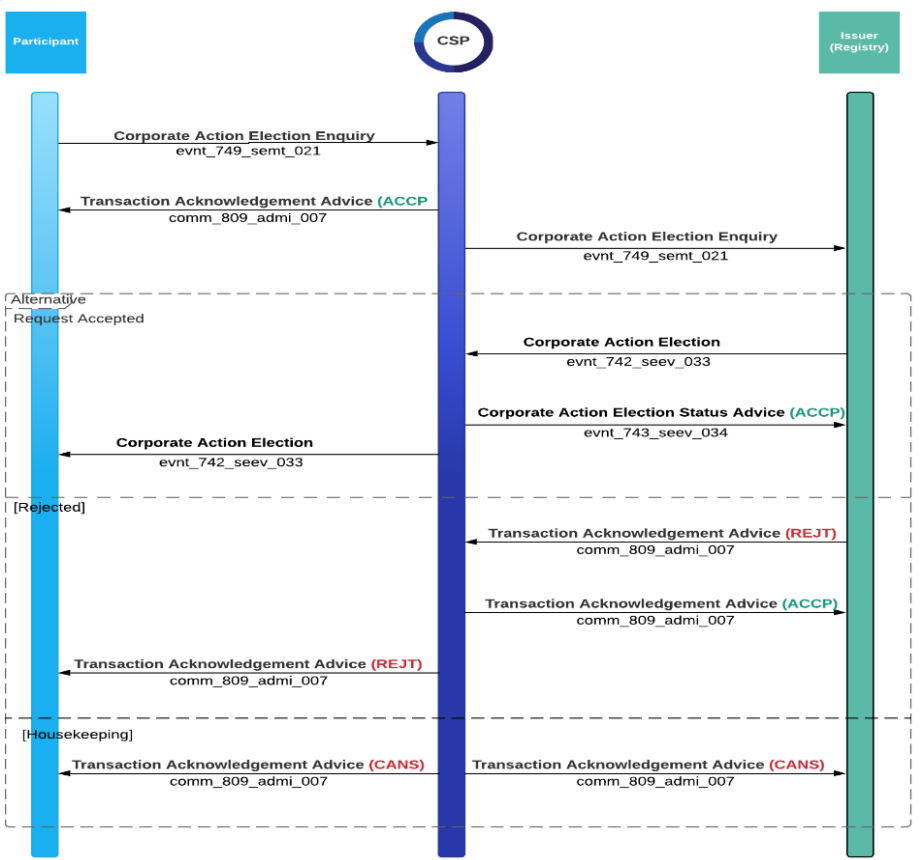
Overview

In response to market feedback, ASX has included an additional message in the DRP/BSP Election feature to allow transmission of a DRP/BSP Election Enquiry from Participant to Issuer. The message allows the Participant to request the current DRP/BSP Election for a given Account (HIN) and Security. This message is forwarded to the Issuer Registry which may respond with the current DRP/BSP Election. If no DRP/BSP Election exists, or a DRP/BSP Election is not applicable, the Issuer Registry may send a rejection.

If no response is received to the DRP/BSP Election Enquiry by the end of the following business day, the request is housekept.

3e DRP/BSP Election Enquiry

Message Flow



3e DRP/BSP Election Enquiry

‘To-be’ message consolidation table

Message Type	Message Id	EIS	ISO 20022 base message	Message Name	From	To
Request	evnt_749	NA	semt_021	Corporate Action Election Enquiry	Participant, CSP	CSP, Issuer
Notification	evnt_742	NA	seev_033	Corporate Action Election	Issuer, CSP	CSP, Participant
Status Advice	evnt_743	NA	seev_034	Corporate Action Election Status Advice	CSP	Issuer
Status Advice	comm_809	NA	admi_007	Transaction Acknowledgement Advice	Issuer, CSP	CSP, Participant

3e DRP/BSP Election Enquiry

‘To-be’ message consolidation table

Lvl	Name	XML Tag	Mult	Type / Code	Restr
0	Securities Statement Query V06 (semt.021.001.06)	<SctiesStmtQry>			
1	Statement Requested	<StmtReqd>	[1..1]		
2	Number	<Nb>	[1..1]	Choice	
3	Proprietary Number	<PrtryNb>	[1..1]		
4	Identification	<Id>	[1..1]	text{1,35}	
1	Statement General Details	<StmtGnlDtls>	[0..1]		
2	Statement Type	<StmtTp>	[0..1]	Choice	
3	Proprietary	<Prtry>	[1..1]		
4	Identification	<Id>	[1..1]	text	T/C
5	Dividend Option			DVOP	
1	Safekeeping Account	<SfkpgAcct>	[1..1]		
2	Identification	<Id>	[1..1]	text{1,35}	T/C
1	Additional Query Parameters	<AddtlQryParams>	[0..*]		[1..1]
2	Financial Instrument Identification	<FinInstrmId>	[0..*]		[1..1]
3	ISIN	<ISIN>	[0..1]	text	
3	Other Identification	<OthrId>	[0..*]		[0..1]
4	Identification	<Id>	[1..1]	text{1,35}	T/C

evnt_749_semt_021 (Corporate Action Election Enquiry)

Transaction Id (1..1)

Query Type (1..1)

- DVOP (Dividend Option)

Account Identifier (HIN) (1..1)

Security Code (1..1)

3f ‘To-be’ messages for review

To-be Messages	Collections
sett_129_sese_024	ASX_AU_CHS_draft_sett
sett_138_DRAFT1camt_093	ASX_AU_CHS_draft_sett
sett_170_admi_002	ASX_AU_CHS_draft_sett
hold_228_semt_002	ASX_AU_CHS_draft_hold
pldg_309_secl_005	ASX_AU_CHS_draft_pldg
pldg_307_DRAFT1colr_017	ASX_AU_CHS_draft_pldg
pldg_308_DRAFT1colr_018	ASX_AU_CHS_draft_pldg
evnt_742_seev_033	ASX_AU_CHS_draft_evnt
evnt_743_seev_034	ASX_AU_CHS_draft_evnt
evnt_749_semt_021	ASX_AU_CHS_draft_evnt
comm_809_admi_007	ASX_AU_CHS_draft_comm

MyStandards ‘to-be’ documentation

Community: ASX ISO 20022 Technical Committee

Collection: ASX_AU_CHS_draft_sett
ASX_AU_CHS_draft_hold
ASX_AU_CHS_draft_pldg
ASX_AU_CHS_draft_evnt
ASX_AU_CHS_draft_comm

Further details (attached to Message Definitions in MyStandards)

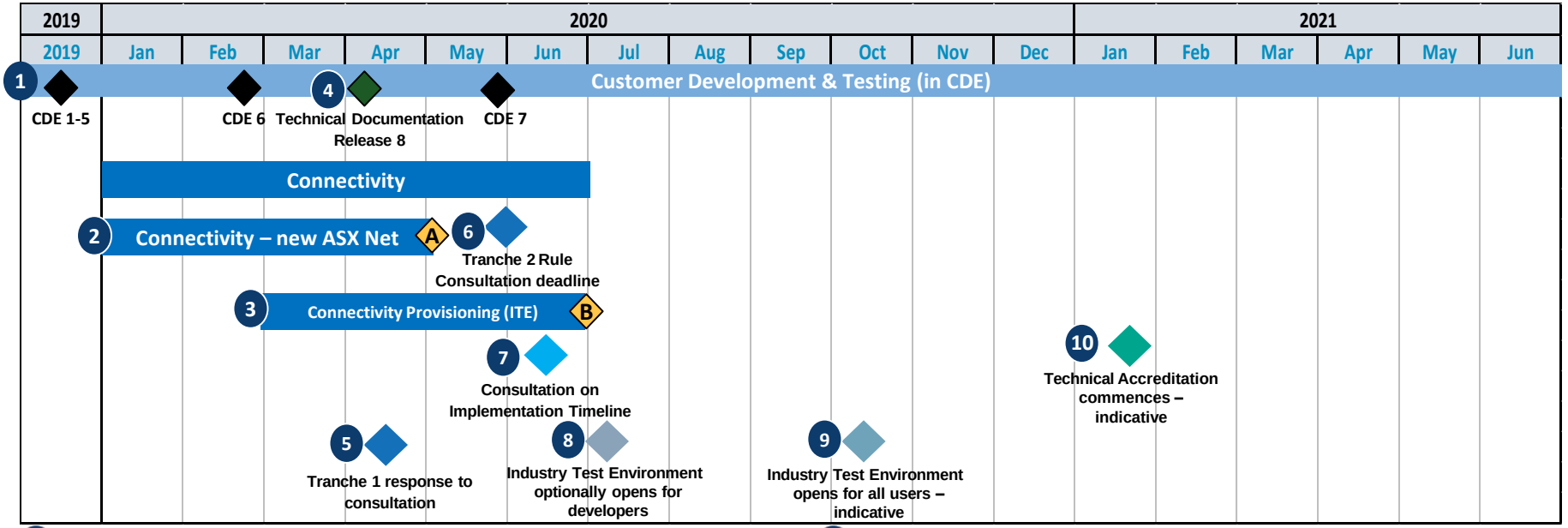
- Message Model
- Sample .xml
  - Valid .xml samples to illustrate message structure
  - Not intended to cover full business usage
- ASX Proprietary Code list (attached to collection)

Feedback Request: ASX requests TC member feedback via comments in MyStandards by **21 April 2020** ready for ASX review.

4. Standing agenda items

4a CHESS Replacement Project Update

Updated



1. Iterative customer development and testing for software vendors and in-house systems connected to CHESS in a dedicated customer development environment
2. Submit order forms and install new ASX Net connections (if required)
3. Provisioning of ASX Net & SWIFTNet connectivity to ITE
4. Publication of technical documentation release 8
5. ASX's response to consultation feedback on tranche 1 operating rule amendments
6. Consultation on the second tranche of operating rule amendments closes
7. Consultation on the implementation timetable
8. ITE optionally opens exclusively for software developers
9. ITE optionally opens for all CHESS users, subject to consultation
10. Technical accreditation indicatively scheduled to commence end January 2021, subject to consultation

ASX

4b ISO 20022 project update by ASX message status

Updated

As at end March 2020		Technical Documentation (7 releases)		Additional drafts provided to Technical Committee ahead of future Technical Documentation releases		Total messages published in Technical Documentation and provided to Technical Committee		Total CHESS messages mapped (covering messages released in Technical Documentation, provided to the Technical Committee and to be descoped)	
ISO 20022 Business Area	Total # CHESS "as-is" messages in scope	# CHESS messages mapped	Equivalent # ISO 20022 messages finalised	# CHESS messages mapped	Equivalent # ISO 20022 messages drafted	# CHESS messages mapped	Equivalent # ISO 20022 messages	*# CHESS message candidates for descope	# CHESS messages mapped incl. descoped
Account management (acct)	53	29	8			29	8	1	30
Operations Admin (admn)	11	2	2			2	2		2
Common (comm)	2	11	4			11	4		11
RTGS (gset)	60							60	60
Holding movement (hold)	37	86	24			86	24	1	87
mFund Service (mfnd)	85	20	8			20	8	43	63
Pledge and Lodge Management (pldg)	85	47	8			47	8	14	61
Reporting (rptg)	36	18	7			18	7	19	37
Settlement (sett)	51	42	37	2	1	44	38	1	45
Corporate Actions (evnt)		27	7			27	7		27
Total	**420**	**282**	**105**	**2**	**1**	**284**	**106**	**139**	**423**
% equivalent CHESS "as-is" messages delivered		**67.14%**		**0.48%**		**67.62%**			**100.71%**

More details:
EIS to ISO 20022 Cross Reference Guide: https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/pages/23233827/ISO+20022+Messaging+-+TM+-+EIS+to+ISO+20022+Cross+Reference+Guide
Business Message Parameters: https://asxchessreplacement.atlassian.net/wiki/spaces/CSP/pages/56819816/ISO+20022+Messaging+-+TM+-+Business+Message+Parameters

4c Update from Business Committee

5. Closing

5 Closing

- Noted actions from this meeting
- Draft minutes from this meeting will be distributed for review
- Discuss outstanding matters, next steps

More information on CHESS Replacement & Technical Committee documents:

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

Email questions to ASX project team: CHESSReplacement@asx.com.au

Email questions about messages/technical documentation to: CSPSupport@asx.com.au

Thank you.