

Corporate Actions Adaptation Plan

OeKB CSD GmbH

Activity	Corporate Actions
Plan submitted by	OeKB CSD GmbH
NSG	Austria
Date	March 2022

Background

The Adaptation Plan provides information on the changes which will be implemented to meet the SCoRE Standards for Corporate Actions which form part of the Single Collateral Management Rulebook for Europe (SCoRE). Full details of the Corporate Actions Standards can be found on the [ECB website](#).

The document is structured as follows: Section 1 (Cover Letter) provides a high-level summary of the changes in order to implement the SCoRE Standards. Section 2 (Adaptation Plan Table) then provides a more detailed overview per Standard covering a feasibility assessment and the implementation milestones.

1 Cover Letter

[...]

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For specific terminology please refer to the [ECB glossary](#) (available in English only).

2 Adaptation Plan Table

AMI-SeCo Standard			Feasibility Assessment		Implementation Milestones				
No.	Name of Standard	Standard	Adaptation Required?	Description of Changes Required	Legal Barrier Identified?	Please indicate the expected date of completion of the following activities:			
1	Harmonised business process and workflows per CA event	The Business Processes & Workflows and Key Data Elements are described in the following sections of the AMI-SeCo Corporate Action Standards document. Please refer to Standards 1A to 1H below:				Analysis and Communication			
						Yes	No	n/a	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
						Internal Adaptation			
						Yes	No	n/a	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
						<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	
Testing and Implementation									
Yes	No	n/a							
<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>							
<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>							
<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>							
<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>							
1A	Corporate Action Notification	<i>The Account Servicer must notify the Account Owner about the details of a corporate action event in accordance with a set of harmonised business processes, workflows and key data elements.</i>							
Additional Information	Business Processes & Workflows	Key Data Elements							
	1a. Notify [ca.1.01]	Table 3	Adaptation Required	Notify Workflow in place but based on ISO 15022.					
	1b. Update [ca.1.02]	Table 3	Adaptation Required	Update Workflow in place but based on ISO 15022.					
	1c. Cancel [ca.1.03]	Table 4	Adaptation Required	Cancel Workflow in place but based on ISO 15022.					
1B	Corporate Action Instruction	<i>Instructions on elective corporate actions must be processed in accordance with a set of</i>							

		<i>harmonised business processes, workflows and key data elements.</i>				
Additional Information	Business Processes & Workflows	Key Data Elements				
	2a. Instruction [ca.2.01]	Table 5	Adaptation Required	Instruction Workflow in place but based on ISO 15022.		
	2b. Instruction Status Advice [ca.2.02]	Table 6	Adaptation Required	Instruction Status Advice Workflow in place but based on ISO 15022.		
	2c. Instruction Cancellation Request [ca.2.03]	Table 7	Adaptation Required	Instruction Cancellation Request Workflow in place but based on ISO 15022.		
	2d. Instruction Cancellation Request Status Advice [ca.2.04]	Table 8	Adaptation Required	Instruction Cancellation Request Status Advice in place but based on ISO 15022.		
1C	Corporate Action Advice	<i>The Account Servicer must be able to provide Preliminary Advice notifications in accordance with a set of harmonised business processes, workflows and key data elements.</i>				
Additional Information	Business Processes & Workflows	Key Data Elements				
	3a. Movement Preliminary Advice [ca.3.01]	Table 9	Adaptation Required	In place but ISO 15022		
	3b. Movement Preliminary Advice Cancellation [ca.3.02]	Table 10	Adaptation Required	In place but ISO 15022		
1D	Corporate Action Confirmation	<i>The Account Servicer must confirm that a corporate action has been carried out in accordance with a set of harmonised business processes, workflows and key data elements.</i>				
Additional Information	Applicable Business Processes & Workflows	Key Data Elements				
	4a. CA Event Processing Status Advice[ca.4.01]	Table 11	Adaptation Required	In place but ISO 15022		

	4b. Movement Confirmation [ca.4.02]	Table 12	Adaptation Required	In place but ISO 15022		
1E	Corporate Action Reversal	<i>The Account Servicer must carry out the reversal of a corporate action in accordance with a set of harmonised business processes, workflows and key data elements.</i>				
Additional Information	Applicable Business Processes & Workflows	Key Data Elements				
	5a. Movement Preliminary Advice [ca.5.01]	Table 13	Adaptation Required	Not implemented		
	5b. Movement Reversal Advice [ca.5.02]	Table 14	Adaptation Required	Not implemented		
1F	Meeting Event Notifications	<i>The Account Servicer must notify the Account Owner about the details of a meeting event in accordance with a set of harmonised business processes, workflows and key data elements.</i>				
Additional Information	Business Processes & Workflows	Key Data Elements				
	1a. Meeting Notification [me.1.01]	Table 15	Implemented			
	1b. Meeting Cancellation [me.1.02]	Table 16	Implemented			
	1c. Meeting Entitlement Notification [me.1.03]	Table 17	Implemented			
1G	Meeting Event Instructions	<i>The Account Owner (or the party holding the right to vote) must provide instructions on meeting events in accordance with a set of harmonised business processes, workflows and key data elements.</i>				
Additional Information	Business Processes & Workflows	Key Data Elements				
	2a. Meeting Instruction [me.2.01]	Table 18	Adaptation Required	In place but ISO 15022		
	2b. Meeting Instruction	Table 20	Adaptation Required	In place but ISO 15022		

	Cancellation Request [me.2.02]								
	2c. Meeting Instruction Status [me.2.03]	Table 19	Adaptation Required	Not implemented					
	2d. Meeting Vote Execution Confirmation [me.2.04]	Table 21	Adaptation Required	Not implemented					
1H	Meeting Event Results	<i>The Account Servicer must disseminate meeting results in accordance with a set of harmonised business processes, workflows and key data elements.</i>							
Additional Information	Business Processes & Workflows	Key Data Elements							
	3a. Meeting Result Dissemination [me.3.01]	Table 22	Implemented						
2	Provision of data necessary for calculation of proceeds	<i>The corporate action notification, as communicated by the Account Servicer, must include the necessary data elements required to calculate the cash and / or securities movements.</i>							
						Analysis and Communication	Yes	No	n/a
						M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
						M2: Initial communication by 01/03/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
						M3: Analysis completed by 31/07/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
						M4: Documentation completed by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
						M5: Detailed external communication by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
						Internal Adaptation	Yes	No	n/a
						M6: Adaptation started by 01/01/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
						M7: Adaptation completed by 30/06/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M8: Internal testing started by 01/07/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M9: Internal testing complete by 02/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M11: Final external communication by 01/04/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>

				M12: External testing completed by 13/10/2023 <input checked="" type="checkbox"/> <input type="checkbox"/> DD-MM-YYYY <input type="checkbox"/> M13: Standard implemented by 20/11/2023 <input checked="" type="checkbox"/> <input type="checkbox"/> DD-MM-YYYY <input type="checkbox"/>	
				Please explain if the milestones are different for events related to non-debt instruments (and if yes, explain in the additional Milestones table). All milestones will be implemented for all Security Types	
Events relevant to debt instruments					
Event ID	Event Name				
1. ACTV	Trading Status: Active	Adaptation Required	Not Implemented		No difference
2. BIDS	Repurchase Offer / Issuer Bid / Reverse Rights	Adaptation Required	Implemented (ISO 15022)		No difference
3. BMET	Bond Holder Meeting	Adaptation Required	Implemented (ISO 15022)		No (but not relevant in AT for non-debt instruments)
4. BPUT	Put Redemption	Adaptation Required	Implemented (ISO 15022)		No (but not relevant in AT for non-debt instruments)
5. BRUP	Bankruptcy	Adaptation Required	Not implemented		No difference
6. CAPI	Capitalisation	Adaptation Required	Not implemented		No difference
7. CERT	Non-US TEFRA D Certification	Adaptation Required	Implemented (ISO 15022)		No (but not relevant in AT for non-debt instruments)
8. CHAN	Change	Adaptation Required	Implemented (ISO 15022)		No difference
9. CMET	Court Meeting	Adaptation Required	Not implemented		No difference
10. CONS	Consent	Adaptation Required	Implemented (ISO 15022)		No difference
11. CREV	Credit Event	Adaptation Required	Not implemented		No difference
12. DFLT	Bond Default	Adaptation Required	Not implemented		No (but not relevant in AT for non-debt instruments)
13. DLST	Trading Status: Delisted	Adaptation Required	Not implemented		No difference
14. DRAW	Drawing	Adaptation Required	Not implemented		No difference
15. DSCL	Disclosure	No	Implemented (ISO 15022, ISO 20022)		No difference
16. DTCH	Dutch Auction	Adaptation Required	Implemented (ISO 15022)		No difference
17. EXOF	Exchange	Adaptation Required	Implemented (ISO 15022)		No difference
18. EXTM	Maturity Extension	Adaptation Required	Not implemented		No (but not relevant in AT for non-debt instruments)
19. INCR	Increase in Value	Adaptation Required	Not implemented		No difference

20. INFO	Information	Adaptation Required	Implemented (ISO 15022)		No difference
21. INTR	Interest Payment	Adaptation Required	Implemented (ISO 15022)		No difference
22. LIQU	Liquidation Payment	Adaptation Required	Implemented (ISO 15022)		No difference
23. MCAL	Full Call / Early Redemption	Adaptation Required	Implemented (ISO 15022)		No (but not relevant in AT for non-debt instruments)
24. OTHR	Other Event	Adaptation Required	Implemented (ISO 15022)		No difference
25. PARI	Pari-Passu	Adaptation Required	Implemented (ISO 15022)		No difference
26. PCAL	Partial Redemption Without Pool Factor Reduction	Adaptation Required	Implemented (ISO 15022)		No (but not relevant in AT for non-debt instruments)
27. PINK	Payment in Kind	Adaptation Required	Not implemented, planned 2020		No difference
28. PLAC	Place of Incorporation	Adaptation Required	Not implemented		No difference
29. PPMT	Instalment Call	Adaptation Required	Not implemented		No difference
30. PRED	Partial Redemption With Pool Factor Reduction	Adaptation Required	Implemented (ISO 15022)		No (but not relevant in AT for non-debt instruments)
31. REDM	Final Maturity	Adaptation Required	Implemented (ISO 15022)		No (but not relevant in AT for non-debt instruments)
32. REDO	Redenomination	Adaptation Required	Not implemented		No difference
33. REMK	Remarketing Agreement	Adaptation Required	Not implemented		No difference
34. RHDI	Intermediate Securities Distribution	Adaptation Required	Implemented (ISO 15022)		No difference
35. SUSP	Trading Status: Suspended	Adaptation Required	Not implemented		No difference
36. TEND	Tender / Acquisition / Takeover / Purchase Offer	Adaptation Required	Implemented (ISO 15022)		No difference
37. TREC	Tax Reclaim	Adaptation Required	Not implemented		No difference
38. WRTH	Worthless	Adaptation Required	Implemented (ISO 15022)		No difference
39. WTRC	Withholding Tax Relief Certification	Adaptation Required	Not implemented		No difference

Events relevant to non-debt instruments

Analysis and Communication	Yes	No	n/a
M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
M2: Initial communication by 01/03/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
M3: Analysis completed by 31/07/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
M4: Documentation completed by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>

						M5: Detailed external communication by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
						Internal Adaptation	Yes	No	n/a
						M6: Adaptation started by 01/01/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input checked="" type="checkbox"/>
						M7: Adaptation completed by 30/06/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M8: Internal testing started by 01/07/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M9: Internal testing complete by 02/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M11: Final external communication by 01/04/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M12: External testing completed by 13/10/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M13: Standard implemented by 20/11/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
1.	ACCU	Accumulation	Adaptation Required	Implemented (ISO 15022)					
2.	BONU	Bonus Issue/Capitalisation Issue	Adaptation Required	Implemented (ISO 15022)					
3.	CAPD	Capital Distribution	Adaptation Required	Implemented (ISO 15022)					
4.	CAPG	Capital Gains Distribution	Adaptation Required	Implemented (ISO 15022)					
5.	CONV	Conversion	Adaptation Required	Implemented (ISO 15022)					
6.	DECR	Decrease In Value	Adaptation Required	Implemented (ISO 15022)					
7.	DRCA	Cash Distribution From Non-Eligible Securities Sales	Adaptation Required	Implemented (ISO 15022)					
8.	DRIP	Dividend Reinvestment	Adaptation Required	Implemented (ISO 15022)					
9.	DVCA	Cash Dividend	Adaptation Required	Implemented (ISO 15022)					
10.	DVOP	Dividend Option	Adaptation Required	Implemented (ISO 15022)					
11.	DVSC	Scrip Dividend	Adaptation Required	Implemented (ISO 15022)					
12.	DVSE	Stock Dividend	Adaptation Required	Implemented (ISO 15022)					
13.	EXRI	Call on Intermediate Securities	Adaptation Required	Implemented (ISO 15022)					
14.	EXWA	Warrant Exercise	Adaptation Required	Implemented (ISO 15022)					
15.	GMET	General Meeting	No	Implemented (ISO 15022 and 20002)					
16.	MRGR	Merger	Adaptation Required	Implemented (ISO 15022)					

	17. ODLT	Odd Lot Sale/Purchase	Adaptation Required	Implemented (ISO 15022)							
	18. PRIO	Priority Issue	Adaptation Required	Implemented (ISO 15022)							
	19. SHPR	Shares Premium Dividend	Adaptation Required	Implemented (ISO 15022)							
	20. SOFF	Spin-Off	Adaptation Required	Implemented (ISO 15022)							
	21. SPLF	Stock Split/Change in Nominal Value/Subdivision	Adaptation Required	Implemented (ISO 15022)							
	22. SPLR	Reverse Stock Split/Change in Nominal Value	Adaptation Required	Implemented (ISO 15022)							
	23. XMET	Extraordinary Meeting	Adaptation Required	Implemented (ISO 15022)							
3	Consistency of information provided by Issuer CSDs, Investor CSDs & Custodians	<i>Investor (I)CSDs and Custodians must remit information on CA and meeting events in accordance with the information received from the Issuer (I)CSD. All CA and meeting event types announced by the Issuer CSD must be supported by all Investor (I)CSDs / Custodians. All Issuer CSDs must use CA and meeting event types in a consistent manner.</i>				Analysis and Communication			Yes	No	n/a
						M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						M2: Initial communication by 01/03/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						M3: Analysis completed by 31/07/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						M4: Documentation completed by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						M5: Detailed external communication by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						Internal Adaptation			Yes	No	n/a
						M6: Adaptation started by 01/01/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						M7: Adaptation completed by 30/06/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						M8: Internal testing started by 01/07/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						M9: Internal testing complete by 02/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						Testing and Implementation			Yes	No	n/a
						M10: External testing started by 05/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
						M11: Final external communication by 01/04/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
M12: External testing completed by 13/10/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>								
M13: Standard implemented by 20/11/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>								
		<i>The corporate action events listed in the table below shall be processed in a consistent manner across Europe in accordance with the details specified in Section 4 of this document, so that there is consistency in the usage of event types both within an individual CSD, and across different CSDs. The CA events listed below are in the scope of the Standard. Please indicate for each CA event whether adaptations are required in order to adhere to the Standard.</i>				All milestones will be implemented for all Security Types					
Events relevant to debt instruments											
Event ID	Event Name										
1. ACTV	Trading Status: Active		Adaptation Required	Not Implemented							

2.	BIDS	Repurchase Offer / Issuer Bid / Reverse Rights	Adaptation Required	Implemented (ISO 15022)		
3.	BMET	Bond Holder Meeting	Adaptation Required	Implemented (ISO 15022)		
4.	BPUT	Put Redemption	Adaptation Required	Implemented (ISO 15022)		
5.	BRUP	Bankruptcy	Adaptation Required	Not implemented		
6.	CAPI	Capitalisation	Adaptation Required	Not implemented		
7.	CERT	Non-US TEFRA D Certification	Adaptation Required	Implemented (ISO 15022)		
8.	CHAN	Change	Adaptation Required	Implemented (ISO 15022)		
9.	CMET	Court Meeting	Adaptation Required	Not implemented		
10.	CONS	Consent	Adaptation Required	Implemented (ISO 15022)		
11.	CREV	Credit Event	Adaptation Required	Not implemented		
12.	DFLT	Bond Default	Adaptation Required	Not implemented		
13.	DLST	Trading Status: Delisted	Adaptation Required	Not implemented		
14.	DRAW	Drawing	Adaptation Required	Not implemented		
15.	DSCL	Disclosure	No	Implemented (ISO 15022, ISO 20022)		
16.	DTCH	Dutch Auction	Adaptation Required	Implemented (ISO 15022)		
17.	EXOF	Exchange	Adaptation Required	Implemented (ISO 15022)		
18.	EXTM	Maturity Extension	Adaptation Required	Not implemented		
19.	INCR	Increase in Value	Adaptation Required	Not implemented		
20.	INFO	Information	Adaptation Required	Implemented (ISO 15022)		
21.	INTR	Interest Payment	Adaptation Required	Implemented (ISO 15022)		
22.	LIQU	Liquidation Payment	Adaptation Required	Implemented (ISO 15022)		
23.	MCAL	Full Call / Early Redemption	Adaptation Required	Implemented (ISO 15022)		
24.	OTHR	Other Event	Adaptation Required	Implemented (ISO 15022)		

25.	PARI	Pari-Passu	Adaptation Required	Implemented (ISO 15022)		
26.	PCAL	Partial Redemption Without Pool Factor Reduction	Adaptation Required	Implemented (ISO 15022)		
27.	PINK	Payment in Kind	Adaptation Required	Not implemented, planned 2020		
28.	PLAC	Place of Incorporation	Adaptation Required	Not implemented		
29.	PPMT	Instalment Call	Adaptation Required	Not implemented		
30.	PRED	Partial Redemption With Pool Factor Reduction	Adaptation Required	Implemented (ISO 15022)		
31.	REDM	Final Maturity	Adaptation Required	Implemented (ISO 15022)		
32.	REDO	Redenomination	Adaptation Required	Not implemented		
33.	REMK	Remarketing Agreement	Adaptation Required	Not implemented		
34.	RHDI	Intermediate Securities Distribution	Adaptation Required	Implemented (ISO 15022)		
35.	SUSP	Trading Status: Suspended	Adaptation Required	Not implemented		
36.	TEND	Tender / Acquisition / Takeover / Purchase Offer	Adaptation Required	Implemented (ISO 15022)		
37.	TREC	Tax Reclaim	Adaptation Required	Not implemented		
38.	WRTH	Worthless	Adaptation Required	Implemented (ISO 15022)		
39.	WTRC	Withholding Tax Relief Certification	Adaptation Required	Not implemented		

Events relevant to non-debt instruments

Analysis and Communication	Yes	No	n/a
M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
M2: Initial communication by 01/03/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
M3: Analysis completed by 31/07/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
M4: Documentation completed by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
M5: Detailed external communication by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
Internal Adaptation	Yes	No	n/a
M6: Adaptation started by 01/01/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
M7: Adaptation completed by 30/06/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
M8: Internal testing started by 01/07/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
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Testing and Implementation	Yes	No	n/a
M10: External testing started by 05/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>

				M11: Final external communication by 01/04/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
				M12: External testing completed by 13/10/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
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1.	ACCU	Accumulation	Adaptation Required	Implemented (ISO 15022)			
2.	BONU	Bonus Issue/Capitalisation Issue	Adaptation Required	Implemented (ISO 15022)			
3.	CAPD	Capital Distribution	Adaptation Required	Implemented (ISO 15022)			
4.	CAPG	Capital Gains Distribution	Adaptation Required	Implemented (ISO 15022)			
5.	CONV	Conversion	Adaptation Required	Implemented (ISO 15022)			
6.	DECR	Decrease In Value	Adaptation Required	Implemented (ISO 15022)			
7.	DRCA	Cash Distribution From Non-Eligible Securities Sales	Adaptation Required	Implemented (ISO 15022)			
8.	DRIP	Dividend Reinvestment	Adaptation Required	Implemented (ISO 15022)			
9.	DVCA	Cash Dividend	Adaptation Required	Implemented (ISO 15022)			
10.	DVOP	Dividend Option	Adaptation Required	Implemented (ISO 15022)			
11.	DVSC	Scrip Dividend	Adaptation Required	Implemented (ISO 15022)			
12.	DVSE	Stock Dividend	Adaptation Required	Implemented (ISO 15022)			
13.	EXRI	Call on Intermediate Securities	Adaptation Required	Implemented (ISO 15022)			
14.	EXWA	Warrant Exercise	Adaptation Required	Implemented (ISO 15022)			
15.	GMET	General Meeting	No	Implemented (ISO 15022 and 20002)			
16.	MRGR	Merger	Adaptation Required	Implemented (ISO 15022)			
17.	ODLT	Odd Lot Sale/Purchase	Adaptation Required	Implemented (ISO 15022)			
18.	PRIO	Priority Issue	Adaptation Required	Implemented (ISO 15022)			
19.	SHPR	Shares Premium Dividend	Adaptation Required	Implemented (ISO 15022)			
20.	SOFF	Spin-Off	Adaptation Required	Implemented (ISO 15022)			
21.	SPLF	Stock Split/Change in Nominal Value/Subdivision	Adaptation Required	Implemented (ISO 15022)			

	22. SPLR	Reverse Stock Split/Change in Nominal Value	Adaptation Required	Implemented (ISO 15022)					
	23. XMET	Extraordinary Meeting	No	Implemented (ISO 15022 and 20002)					
4	Rounding rules	<i>Harmonised rounding rules shall be applied for the calculation of cash payments and securities movements.</i>				Analysis and Communication	Yes	No	n/a
						M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M2: Initial communication by 01/03/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M3: Analysis completed by 31/07/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M4: Documentation completed by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M5: Detailed external communication by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						Internal Adaptation	Yes	No	n/a
						M6: Adaptation started by 01/01/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M7: Adaptation completed by 30/06/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M8: Internal testing started by 01/07/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M9: Internal testing complete by 02/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
						M11: Final external communication by 01/04/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
M12: External testing completed by 13/10/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>						
M13: Standard implemented by 20/11/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>						
	Rounding rule no. 1	For cash payments, the cash amount to be paid is to be rounded down to the number of decimals permissible in the payment currency (i.e. to 2 decimals in case of EUR payments).Accordingly, and as an example, a cash amount of EUR 2.556 should be rounded down to EUR 2.55	Adaptation Required	Currently commercial rounding can be changed easily to rounding down.					
Additional Information	Rounding rule no. 2	For securities movements, the securities amount should be rounded down to the nearest full unit ¹ . The Minimum Settlement Unit (MSU) ² of the security shall determine whether the nearest full unit is a whole number (for example 1) or another number ³ (for example 1.1).	Adaptation Required	Currently commercial rounding can be changed easily to rounding down. But if the smallest denomination is < 1 it must be possible to match the decimals of the smallest denomination					

¹ For equities, the rounding-down applies on (I)CSD level for the total position held for one (I)CSD participant and not per share. Accordingly, an entitlement to receive 9.33 shares would be rounded down to 9 i.e. the nearest whole number.

² The MSU should be determined in accordance with the guidance contained in question 4.2 of the T2S Corporate Actions Standards [FAQ](#).

³ Investment fund units may contain up to 6 decimals.

<p>Rounding rule no. 3</p>	<p>For the calculation of cash payment amounts or securities movement amounts relating to a specific securities account, the ratio applicable to the entire issue should be applied to the total holding in the parent ISIN on the securities account. (There should be no intermediate step whereby a ratio per 1,000 nominal is calculated, and then applied).</p>	<p>Adaptation Required</p>	<p>Implemented, but sometimes ratio is foreseen in the conditions of the respective bond</p>	<p>Behaviour does not match the terms and conditions of some bonds. There are securities which have not a minimal nominal value of 1,000 (it can be below or above)</p>																																																																	
<p>Rounding rule no. 4</p>	<p>The ratio specified by the Issuer CSD in the event notification should be passed on in its entirety in the event notification sent by all Account Servicers and Custodians in the custody chain. (There should be no rounding up, or rounding down, or truncation, of the ratio).</p>	<p>Implemented</p>																																																																			
<p>5</p>	<p><i>Issuer CSDs and Investor CSDs shall support the processing of corporate actions where the underlying security has a fixed negative interest rate or a floating rate coupon. Any negative interest shall result in a cashflow from the Investor to the Issuer which shall be processed using the Interest Payment (INTR) event.</i></p>	<p>Adaptation/ Clarification Required</p>	<p>Currently (as per 05/2022) OeKB CSD does not support the processing of cashflows from the Investor to the issuer resulting from securities with a negative interest rate. OeKB CSD will consult with issuers and participants in order to decide in due time whether or not to support such process in the future or to exclude securities with a negative interest rate.</p>		<table border="1"> <thead> <tr> <th data-bbox="1355 600 1899 639">Analysis and Communication</th> <th data-bbox="1899 600 1955 639">Yes</th> <th data-bbox="1955 600 2033 639">No</th> <th data-bbox="2033 600 2190 639">n/a</th> </tr> </thead> <tbody> <tr> <td data-bbox="1355 639 1899 679">M1: Analysis started by 30/06/2020</td> <td data-bbox="1899 639 1955 679"><input checked="" type="checkbox"/></td> <td data-bbox="1955 639 2033 679"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 639 2190 679"><input type="checkbox"/></td> </tr> <tr> <td data-bbox="1355 679 1899 719">M2: Initial communication by 01/03/2021</td> <td data-bbox="1899 679 1955 719"><input checked="" type="checkbox"/></td> <td data-bbox="1955 679 2033 719"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 679 2190 719"><input type="checkbox"/></td> </tr> <tr> <td data-bbox="1355 719 1899 759">M3: Analysis completed by 31/07/2021</td> <td data-bbox="1899 719 1955 759"><input checked="" type="checkbox"/></td> <td data-bbox="1955 719 2033 759"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 719 2190 759"><input type="checkbox"/></td> </tr> <tr> <td data-bbox="1355 759 1899 799">M4: Documentation completed by 31/12/2021</td> <td data-bbox="1899 759 1955 799"><input checked="" type="checkbox"/></td> <td data-bbox="1955 759 2033 799"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 759 2190 799"><input type="checkbox"/></td> </tr> <tr> <td data-bbox="1355 799 1899 839">M5: Detailed external communication by 31/12/2021</td> <td data-bbox="1899 799 1955 839"><input checked="" type="checkbox"/></td> <td data-bbox="1955 799 2033 839"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 799 2190 839"><input type="checkbox"/></td> </tr> <tr> <th data-bbox="1355 839 1899 879">Internal Adaptation</th> <th data-bbox="1899 839 1955 879">Yes</th> <th data-bbox="1955 839 2033 879">No</th> <th data-bbox="2033 839 2190 879">n/a</th> </tr> <tr> <td data-bbox="1355 879 1899 919">M6: Adaptation started by 01/01/2022</td> <td data-bbox="1899 879 1955 919"><input checked="" type="checkbox"/></td> <td data-bbox="1955 879 2033 919"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 879 2190 919"><input type="checkbox"/></td> </tr> <tr> <td data-bbox="1355 919 1899 959">M7: Adaptation completed by 30/06/2022</td> <td data-bbox="1899 919 1955 959"><input checked="" type="checkbox"/></td> <td data-bbox="1955 919 2033 959"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 919 2190 959"><input type="checkbox"/></td> </tr> <tr> <td data-bbox="1355 959 1899 999">M8: Internal testing started by 01/07/2022</td> <td data-bbox="1899 959 1955 999"><input checked="" type="checkbox"/></td> <td data-bbox="1955 959 2033 999"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 959 2190 999"><input type="checkbox"/></td> </tr> <tr> <td data-bbox="1355 999 1899 1038">M9: Internal testing complete by 02/12/2022</td> <td data-bbox="1899 999 1955 1038"><input checked="" type="checkbox"/></td> <td data-bbox="1955 999 2033 1038"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 999 2190 1038"><input type="checkbox"/></td> </tr> <tr> <th data-bbox="1355 1038 1899 1078">Testing and Implementation</th> <th data-bbox="1899 1038 1955 1078">Yes</th> <th data-bbox="1955 1038 2033 1078">No</th> <th data-bbox="2033 1038 2190 1078">n/a</th> </tr> <tr> <td data-bbox="1355 1078 1899 1118">M10: External testing started by 05/12/2022</td> <td data-bbox="1899 1078 1955 1118"><input checked="" type="checkbox"/></td> <td data-bbox="1955 1078 2033 1118"><input type="checkbox"/> DD-MM-YYYY</td> <td data-bbox="2033 1078 2190 1118"><input type="checkbox"/></td> </tr> <tr> <td data-bbox="1355 1118 1899 1158">M11: Final external 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<p><i>Securities with a fixed negative interest rate, or with a floating interest rate, may result in a payment from the Investor to the Issuer of the security. The Standard is applicable to CSDs acting in their role as both Issuer CSD and Investor CSD. If a CSD accepts only securities with a positive interest rate, or with a floating rate coupon with a floor of zero or above (fixed in the terms and conditions of the security), so that negative cash payments do not occur, then the CSD is deemed to comply with this standard.</i></p>																																																																					

6	Business day rule	<i>If the payment date of a corporate action falls on a non-business day (in the country of the currency in which the payment is due), the payment shall be made on the next business day. If the next business day falls in the following month and the payment needs to be made in the same month, then the calculation period shall be adjusted, and the payment date and the record date shall move back one day.</i>	Implemented			Analysis and Communication	Yes	No	n/a											
	M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>				<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>													
	M2: Initial communication by 01/03/2021	<input checked="" type="checkbox"/>				<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>													
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	Internal Adaptation	Yes				No	n/a													
	M6: Adaptation started by 01/01/2022	<input checked="" type="checkbox"/>				<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>													
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	Testing and Implementation	Yes				No	n/a													
	M10: External testing started by 05/12/2022	<input checked="" type="checkbox"/>				<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>													
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M13: Standard implemented by 20/11/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>																	
	<i>Payment amounts are always calculated on the end-of-day positions on the record date. If the payment date falls on a non-business day in the country of the currency in which the payment is due, the payment must be made on the next business day. If the next business day would fall in the following month, and the payment needs to be made in the same month (with the payment day being moved to precede the original payment date) then the Modified Following (Adjusted) Business Day Convention must be used.</i>		Implemented																	
	<i>In order to comply with this rule, one of the following business day conventions should be used at the time of issuance of the security:</i>		Implemented																	
	<table border="1"> <thead> <tr> <th>Business Day Convention</th> <th>Calculation Period</th> <th>Post-Trade Process</th> </tr> </thead> <tbody> <tr> <td>Following</td> <td>Adjusted</td> <td>Pay the next business day</td> </tr> <tr> <td>Following</td> <td>Unadjusted</td> <td>Pay the next business day</td> </tr> <tr> <td>Modified Following</td> <td>Adjusted</td> <td>Pay the previous business day</td> </tr> </tbody> </table>	Business Day Convention	Calculation Period	Post-Trade Process	Following	Adjusted	Pay the next business day	Following	Unadjusted	Pay the next business day	Modified Following	Adjusted	Pay the previous business day							
Business Day Convention	Calculation Period	Post-Trade Process																		
Following	Adjusted	Pay the next business day																		
Following	Unadjusted	Pay the next business day																		
Modified Following	Adjusted	Pay the previous business day																		

7	Securities amount data <i>Securities amount data should be defined in accordance with the following rules:</i> <ul style="list-style-type: none"> • <i>Debt instruments with a nominal value should be denominated in face amount (FAMT)</i> • <i>Debt instruments with no nominal value should be denominated in units (UNIT)</i> • <i>Equities should be denominated in units (UNIT)</i> • <i>Investment funds should be denominated in units (UNIT)</i> 	Implemented			Analysis and Communication			Yes	No	n/a
					M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
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					Internal Adaptation			Yes	No	n/a
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<i>Debt instruments with a nominal value should be denominated in face amount (FAMT)</i>	Implemented									
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<i>Equities should be denominated in units (UNIT)</i>	Implemented									
<i>Investment funds should be denominated in units (UNIT)</i>	Implemented									

8	<p>Payment time</p> <p><i>For European currencies, the cash proceeds of a corporate action should be distributed by Issuers CSDs as early as possible, but no later than 12:00 noon on the payment date (Issuer CSD time).</i></p> <p><i>For non-European currencies, the cash proceeds of a corporate action should be distributed by Issuers CSDs as early as possible, but no later than 16:30 on the payment date (Issuer CSD time).</i></p> <p><i>If the corporate action event would result in both cash and security movements, then the transactions for the debit (or credit) of securities and credit (or debit) of cash proceeds must be executed simultaneously.</i></p>	Adaptation Required			Analysis and Communication				Yes	No	n/a
					M1: Analysis started by 30/06/2020	<input type="checkbox"/>	<input type="checkbox"/>	DD-MM-YYYY	<input type="checkbox"/>		
					M2: Initial communication by 01/03/2021	<input type="checkbox"/>	<input type="checkbox"/>	DD-MM-YYYY	<input type="checkbox"/>		
					M3: Analysis completed by 31/07/2021	<input type="checkbox"/>	<input type="checkbox"/>	DD-MM-YYYY	<input type="checkbox"/>		
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					M5: Detailed external communication by 31/12/2021	<input type="checkbox"/>	<input type="checkbox"/>	DD-MM-YYYY	<input type="checkbox"/>		
					Internal Adaptation				Yes	No	n/a
					M6: Adaptation started by 01/01/2022	<input type="checkbox"/>	<input type="checkbox"/>	DD-MM-YYYY	<input type="checkbox"/>		
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M12: External testing completed by 13/10/2023	<input type="checkbox"/>	<input type="checkbox"/>	DD-MM-YYYY	<input type="checkbox"/>							
M13: Standard implemented by 20/11/2023	<input type="checkbox"/>	<input type="checkbox"/>	DD-MM-YYYY	<input type="checkbox"/>							
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<i>For non-European currencies, the cash proceeds of a corporate action should be distributed by Issuers CSDs as early as possible, but no later than 16:30 on the payment date (Issuer CSD time).</i>	Implemented										
<i>If the corporate action event would result in both cash and security movements, then the transactions for the debit (or credit) of securities and credit (or debit) of cash proceeds must be executed simultaneously.</i>	Implemented										
<i>Cash proceeds should be made available⁴ by the issuer CSD as early as possible on the payment date using functionalities such as the night-time settlement (NTS) where available, allowing for settlement as soon as technically possible⁵ at the opening of the securities settlement system.</i>	Adaptation Required										
<i>Government debt payments are expected to be paid in the overnight (where NTS is available)/at the latest at the start of the business day.</i>	Adaptation Required	Different treatment of government bonds (payment no later than open for business of the payment systems) might be seen as difficult to accept.									

⁴ The funds should not be subject to any limitations once made available.

⁵ It is expected that payments will be made by 09:30 (Issuer CSD time) to facilitate collateral management. AMI-SeCo will carry out regular fact-finding exercises to monitor actual CA payment times. Payments in Eastern timezone currencies (e.g. Japanese Yen) are expected to be processed in the nighttime settlement.

9	Notification of processing status	<i>If an issuer, issuer agent, or Issuer CSD cannot process a Corporate Action on the previously announced Payment Date, all Account Servicers must inform Account Owners about the delay as soon as possible and based on information received from higher up the custody chain.</i>	Adaptation Required	Not implemented	Analysis and Communication	Yes	No	n/a
	M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	M2: Initial communication by 01/03/2021	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	M3: Analysis completed by 31/07/2021	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	M4: Documentation completed by 31/12/2021	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	M5: Detailed external communication by 31/12/2021	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	Internal Adaptation	Yes			No	n/a		
	M6: Adaptation started by 01/01/2022	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	M7: Adaptation completed by 30/06/2022	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	M8: Internal testing started by 01/07/2022	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	M9: Internal testing complete by 02/12/2022	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	Testing and Implementation	Yes			No	n/a		
	M10: External testing started by 05/12/2022	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	M11: Final external communication by 01/04/2023	<input checked="" type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
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M13: Standard implemented by 20/11/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>					
	<i>If a Corporate Action cannot be processed on the previously announced Payment Date in accordance with the timelines specified in Standard 8, Issuers and their respective agents shall be responsible for providing information to the Issuer CSD on the reasons for the delay in the processing of the Corporate Action. Upon receipt of the information from the issuers and their agents, the issuer CSD must send a notification message containing this information to its participants as early as possible, but no later than 12:15 on the payment date for European currencies and 16:45 on the payment date for non-European currencies (Issuer CSD time). The issuer CSD must also notify its participants of any issues at CSD level which impact the payment of CA proceeds as soon as possible. Intermediaries shall pass on the notification message through the custody chain to ensure all impacted parties are informed of the delay.</i>		Adaptation Required	Not implemented				
10	Elective events	<i>For all mandatory with options and voluntary CA events involving a debit of securities, all intermediaries must ensure that the elected security position is subject to soft blocking if the election is received ahead of the deadline. Intermediaries will show the elected quantity as an instructed quantity therefore 'unavailable' for settlement in their reporting. Upon receipt of the election, Issuer CSDs will also ensure the elected quantity is separated accounting wise. The elected quantity should remain separated</i>			Analysis and Communication	Yes	No	n/a
	M1: Analysis started by 30/06/2020	<input type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
	M2: Initial communication by 01/03/2021	<input type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
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	Internal Adaptation	Yes			No	n/a		
	M6: Adaptation started by 01/01/2022	<input type="checkbox"/>			<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>		
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M9: Internal testing complete by 02/12/2022	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>					

<p><i>accounting wise from the time the CA instruction is accepted until (i) the CA event is executed (when the debit takes place) or (ii) until an instruction is cancelled (for revocable instructions).</i></p> <p><i>For mandatory with options CA events, Issuer CSDs should ensure settlement does not occur after the Market Deadline.</i></p>				<table border="1"> <thead> <tr> <th>Testing and Implementation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> </thead> <tbody> <tr> <td>M10: External testing started by 05/12/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M11: Final external communication by 01/04/2023</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M12: External testing completed by 13/10/2023</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M13: Standard implemented by 20/11/2023</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> </tbody> </table>	Testing and Implementation	Yes	No	n/a	M10: External testing started by 05/12/2022	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M11: Final external communication by 01/04/2023	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M12: External testing completed by 13/10/2023	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M13: Standard implemented by 20/11/2023	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>																																													
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12	<p>Handling of fees for meeting related CA events</p> <p><i>All fees (e.g. solicitation fees, consent fees) to be credited / debited as a result of participation in an event shall be confirmed using the same meeting event type.</i></p>	Adaptation Required	Not implemented		<table border="1"> <thead> <tr> <th>Analysis and Communication</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> </thead> <tbody> <tr> <td>M1: Analysis started by 30/06/2020</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M2: Initial communication by 01/03/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M3: Analysis completed by 31/07/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M4: Documentation completed by 31/12/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M5: Detailed external communication by 31/12/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Internal Adaptation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M6: Adaptation started by 01/01/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M7: Adaptation completed by 30/06/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M8: Internal testing started by 01/07/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M9: Internal testing complete by 02/12/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Testing and Implementation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M10: External testing started by 05/12/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M11: Final external communication by 01/04/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M12: External testing completed by 13/10/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M13: Standard implemented by 20/11/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> </tbody> </table>	Analysis and Communication	Yes	No	n/a	M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M2: Initial communication by 01/03/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M3: Analysis completed by 31/07/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M4: Documentation completed by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M5: Detailed external communication by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	Internal Adaptation	Yes	No	n/a	M6: Adaptation started by 01/01/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M7: Adaptation completed by 30/06/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M8: Internal testing started by 01/07/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M9: Internal testing complete by 02/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	Testing and Implementation	Yes	No	n/a	M10: External testing started by 05/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M11: Final external communication by 01/04/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M12: External testing completed by 13/10/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M13: Standard implemented by 20/11/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
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<p><i>A holder of a security may be entitled to receive a fee following the announcement of a meeting fee. This fee may be paid to all holders of the security or alternatively only to certain holders of the security fulfilling certain criteria. The different constellation of options which may lead to the payment of a meeting fee are outlined below:</i></p> <p><i>A bond/shareholder has to instruct (a certain option until a certain deadline) in order to receive the payment.</i></p> <p><i>A bond/shareholder has to instruct early (a certain option until a certain deadline) in order to obtain an early incentive premium. The bond/shareholder then receives the rate announced in the early incentive premium field.</i></p> <p><i>All bond/shareholders receive the fee without having to participate/instruct at the meeting – the rule is as follows: everyone who has a holding as of a certain date (record date) will receive the fee.</i></p> <p><i>In addition to the above use cases, the event may also include a condition that resolutions have to pass at the meeting in order to receive a fee.</i></p>	Adaptation Required	Not implemented																																																																			

13	Reversal of CA movements	<i>A pre-advice message must be issued in advance of any reversal of a CA. In case of a cash reversal, the pre-advice must be sent sufficiently in advance of the reversal so that recipients have adequate time for cash management.</i>	Adaptation Required	Currently there is no pre-advice sent before the cancellation. The information why the reversal is needed with all the payment details is included in the MT564 for the new payment and in the MT566. Adaption would be needed in order to send a MT564 even before the cancellation takes place. In reality this would mean that pre-advice message, cancellation and confirmation of the new payment are sent nearly at the same time. So, it would have to be clarified if our current behaviour already satisfies this standard even if it is a slightly different one.	<table border="1"> <thead> <tr> <th>Analysis and Communication</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> </thead> <tbody> <tr> <td>M1: Analysis started by 30/06/2020</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M2: Initial communication by 01/03/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M3: Analysis completed by 31/07/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M4: Documentation completed by 31/12/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M5: Detailed external communication by 31/12/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Internal Adaptation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M6: Adaptation started by 01/01/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M7: Adaptation completed by 30/06/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M8: Internal testing started by 01/07/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M9: Internal testing complete by 02/12/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Testing and Implementation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M10: External testing started by 05/12/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M11: Final external communication by 01/04/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M12: External testing completed by 13/10/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M13: Standard implemented by 20/11/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> </tbody> </table>	Analysis and Communication	Yes	No	n/a	M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M2: Initial communication by 01/03/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M3: Analysis completed by 31/07/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M4: Documentation completed by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M5: Detailed external communication by 31/12/2021	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	Internal Adaptation	Yes	No	n/a	M6: Adaptation started by 01/01/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M7: Adaptation completed by 30/06/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M8: Internal testing started by 01/07/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M9: Internal testing complete by 02/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	Testing and Implementation	Yes	No	n/a	M10: External testing started by 05/12/2022	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M11: Final external communication by 01/04/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M12: External testing completed by 13/10/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M13: Standard implemented by 20/11/2023	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
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14	Processing of foreign currency CA payments	<i>To process payments in currencies not eligible in the settlement system, the CSD must instruct the cash correspondent to debit the account of the paying agent and to pay the funds to an account of the security holder. The CSD must send only the corporate action confirmation to the security holder only upon receipt of the confirmation from the cash correspondent that the cash has been transferred successfully.</i>	Implemented		<table border="1"> <thead> <tr> <th>Analysis and Communication</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> </thead> <tbody> <tr> <td>M1: Analysis started by 30/06/2020</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M2: Initial communication by 01/03/2021</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M3: Analysis completed by 31/07/2021</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M4: Documentation completed by 31/12/2021</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M5: Detailed external communication by 31/12/2021</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Internal Adaptation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M6: Adaptation started by 01/01/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M7: Adaptation completed by 30/06/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M8: Internal testing started by 01/07/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M9: Internal testing complete by 02/12/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Testing and Implementation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M10: External testing started by 05/12/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M11: Final external communication by 01/04/2023</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M12: External testing completed by 13/10/2023</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M13: Standard implemented by 20/11/2023</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> </tbody> </table>	Analysis and Communication	Yes	No	n/a	M1: Analysis started by 30/06/2020	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M2: Initial communication by 01/03/2021	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M3: Analysis completed by 31/07/2021	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M4: Documentation completed by 31/12/2021	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M5: Detailed external communication by 31/12/2021	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	Internal Adaptation	Yes	No	n/a	M6: Adaptation started by 01/01/2022	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M7: Adaptation completed by 30/06/2022	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M8: Internal testing started by 01/07/2022	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M9: Internal testing complete by 02/12/2022	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	Testing and Implementation	Yes	No	n/a	M10: External testing started by 05/12/2022	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M11: Final external communication by 01/04/2023	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M12: External testing completed by 13/10/2023	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>	M13: Standard implemented by 20/11/2023	<input type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
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Before accepting securities paying cash proceeds in a currency not eligible in the settlement system, the CSD should put in a place a process to handle payments in that currency.

ISO 2002 messages for corporate actions

Account Servicers must have the capability to support ISO 2002 messages for the processing of corporate actions.

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Analysis and Communication	Yes	No	n/a
M1: Analysis started by 30/06/2020	<input checked="" type="checkbox"/>	<input type="checkbox"/> DD-MM-YYYY	<input type="checkbox"/>
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Message Name	Message Identifier				
Corporate Action Notification	seev.031	Adaptation Required	Currently only 15022		
Corporate Action Event Processing Status Advice	seev.032	Adaptation Required	Currently only 15022		
Corporate Action Instruction	seev.033	Adaptation Required	Currently only 15022		
Corporate Action Instruction Status Advice	seev.034	Adaptation Required	Currently only 15022		
Corporate Action Movement Preliminary Advice	seev.035	Adaptation Required	Currently only 15022		
Corporate Action Movement Confirmation	seev.036	Adaptation Required	Currently only 15022		
Corporate Action Movement Reversal Advice	seev.037	Adaptation Required	Currently only 15022		
Corporate Action Cancellation Advice	seev.039	Adaptation Required	Currently only 15022		

Corporate Action Instruction Cancellation Request	seev.040	Adaptation Required	Currently only 15022		
Corporate Action Instruction Cancellation Request Status Advice	seev.041	Adaptation Required	Currently only 15022		
Corporate Action Instruction Statement Report	seev.042	Adaptation Required	Currently only 15022		
Corporate Action Movement Preliminary Advice Cancellation Advice	seev.044	Adaptation Required	Currently only 15022		
Meeting Notification	seev.001	Implemented			
Meeting Cancellation	seev.002	Implemented			
Meeting Entitlement Notification	seev.003	Implemented			
Meeting Instruction	seev.004	Adaptation Required	Currently only 15022		
Meeting Instruction Cancellation Request	seev.005	Adaptation Required	Currently only 15022		
Meeting Instruction Status	seev.006	Adaptation Required	Currently only 15022		
Meeting Vote Execution Confirmation	seev.007	Adaptation Required	Currently only 15022		
Meeting Result Dissemination	seev.008	Implemented			