

Corporate Actions Adaptation Plan

CDCP

Activity	Corporate Actions
Plan submitted by	Centrálny depozitár cenných papierov SR, a.s. (CDCP)
NSG	Slovakia
Date	June 2021

Background

The Adaptation Plan provides information on the changes which will be implemented to meet the AMI-SeCo 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 AMI-SeCo 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

Comprehensive analysis in cooperation with regulator and legislator is needed, to implement some standards it will be necessary to change current market practices and some standards will need legislative changes. We confirm that final implementation date is in November 2022.

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

2 Adaptation Plan Table

	AMI-S	SeCo Standard		Feasibility Assessment		Implementation Milestone	es		
No.	Name of Standard	Standard	Adaptation Required?	Description of Changes Required	Legal Barrier Identified?	Please indicate the expected date of completion of th	e follo	owing activities:	
	Harmonised	The Business Processes &				Analysis and Communication	Yes	No	n/a
	business process and workflows per	Workflows and Key Data Elements are described in the following				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
	CA event	sections of the AMI-SeCo				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
		Corporate Action Standards document. Please refer to				M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
		Standards 1A to 1H below:				M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
						M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
						Internal Adaptation	Yes	No	n/a
,						M6: Adaptation started by 01/01/2022		□ DD-MM-YYYY	
1						M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		□ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
1A	Corporate Action Notification	The Account Servicer shall 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.							
ion	Business Processes & Workflows	Key Data Elements							
format	1a. Notify [ca.1.01]	Table 1	Adaptation Required						
onal In	1b. Update [ca.1.02]	Table 1	Adaptation Required	Current process adaptation, introduction of MX msgs and additional key data elements					
Additional Information	1c. Cancel [ca.1.03]	Table 2	Adaptation Required	additional key data clements					
1B	Corporate Action Instruction	Instructions on elective corporate actions shall be processed in accordance with a set of harmonised business processes, workflows and key data elements.							
ional	Business Processes &	Key Data Elements							

	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:
	Workflows	'				
	2a. Instruction [ca.2.01]	Table 3	Adaptation Required			
	2b. Instruction Status Advice [ca.2.02]	Table 4	Adaptation Required	- Current process adaptation,		
	2c. Instruction Cancellation Request [ca.2.03]	Table 5	Adaptation Required	introduction of MX msgs and additional key data elements		
	2d. Instruction Cancellation Request Status Advice [ca.2.04]	Table 6	Adaptation Required			
1C	Corporate Action Advice	The Account Servicer shall be able to provide Preliminary Advice notifications in accordance with a set of harmonised business processes, workflows and key data elements.				
on	Business Processes & Workflows	Key Data Elements				
Information	3a. Movement Preliminary Advice [ca.3.01]	Table 7	Adaptation Required	Current process adaptation,		
Additional	3b. Movement Preliminary Advice Cancellation [ca.3.02]	Table 8	Adaptation Required	introduction of MX msgs and additional key data elements		
1D	Corporate Action Confirmation	The Account Servicer shall confirm the execution of a corporate action in accordance with a set of harmonised business processes, workflows and key data elements.				
	Applicable Business Processes & Workflows	Key Data Elements				
ation	4a. CA Event Processing Status Advice[ca.4.01]	Table 9	Adaptation Required	Current process adaptation, introduction of MX msgs and additional key data elements		
al Information	4b. Movement Confirmation [ca.4.02]	Table 10				
Additional	4c. Payment Confirmation [ca.4.03]	Table A and B	Adaptation Required	Current process adaptation, introduction of MX msgs and additional key data elements		

	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:
1E	Corporate Action Reversal	The Account Servicer shall execute the reversal of a corporate action in accordance with a set of harmonised business processes, workflows and key data elements.				
	Applicable Business Processes & Workflows	Key Data Elements				
ion	5a. Movement Preliminary Advice [ca.5.01]	Table 7	Adaptation Required	Current process adaptation, introduction of MX msgs and additional key data elements	Possible legal gaps should be further analysed.	
Information	5b. Payment Confirmation [ca.5.02]	Table A and B				
Additional	5c. Movement Reversal Advice [ca.5.03]	Table 11	Adaptation Required	Current process adaptation, introduction of MX msgs and additional key data elements	Possible legal gaps should be further analysed.	
1F	Meeting Event Notifications	The Account Servicer shall 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.				
	Business Processes & Workflows	Key Data Elements				
uo	1a. Meeting Notification [me.1.01]	Table 12	Adaptation Required			
Information	1b. Meeting Cancellation [me.1.02]	Table 13	Adaptation Required	Current process adaptation, introduction of MX msgs and additional key data elements		
Additional	1c. Meeting Entitlement Notification [me.1.03]	Table 14	Adaptation Required			
1G	Meeting Event Instructions	The Account Owner (or the party holding the right to vote) shall instruct on meeting events in accordance with a set of harmonised business processes, workflows and key data elements.				
Additi	Business Processes & Workflows	Key Data Elements				

	AMI-	SeCo Standard		Feasibility Assessment		Implementation Mileston	es		
No.	Name of Standard	Standard	Adaptation Required?	Description of Changes Required	Legal Barrier Identified?	Please indicate the expected date of completion of the	ne follo	wing activities:	
	2a. Meeting Instruction [me.2.01]	Table 15	Adaptation Required						
	2b. Meeting Instruction Cancellation Request [me.2.02]	Table 17	Adaptation Required	Current process adaptation,	Possible legal gaps should				
	2c. Meeting Instruction Status [me.2.03]	Table 16	Adaptation Required	introduction of MX msgs and additional key data elements	be further analysed.				
	2d. Meeting Vote Execution Confirmation [me.2.04]	Table 18	Adaptation Required						
1H	Meeting Event Results	The Account Servicer shall disseminate meeting results in accordance with a set of harmonised business processes, workflows and key data elements.							
_	Business Processes & Workflows	Key Data Elements							
Additional Information	3a. Meeting Result Dissemination [me.3.01]	Table 19	Adaptation Required	Current process adaptation, introduction of MX msgs and additional key data elements	Possible legal gaps should be further analysed.				
	Provision of data	The corporate action notification,				Analysis and Communication	Yes	No	n/a
	necessary for calculation of	as communicated by the Account Servicer, shall include the				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
	proceeds	necessary data elements required				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
		to calculate the cash and / or securities movements.				M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
						M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
						M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
						Internal Adaptation	Yes	No	n/a
2						M6: Adaptation started by 01/01/2022		□ DD-MM-YYYY	
2						M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		☐ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		☐ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		☐ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		☐ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		☐ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	

	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:
	Business Processe	s & Workflows				
	CA C Event ID	A Event Name				
	1. ACTV T	rading Status: Active	Adaptation Required			
		epurchase Offer / Issuer Bid / Reverse ights	Adaptation Required			
	3. BMET B	ond Holder Meeting	Adaptation Required	Additional data elements		
	4. BPUT P	ut Redemption	Adaptation Required			
	5. BRUP B	ankruptcy	Adaptation Required			
	6. CAPI C	apitalisation	Adaptation Required			
	7. CERT N	lon-US TEFRA D Certification	Adaptation Required			
	8. CHAN C	hange	Adaptation Required			
	9. CLSA C	lass Action / Proposed Settlement	Adaptation Required	· Additional data elements		
	10. CMET C	ourt Meeting	Adaptation Required	Additional data elements		
	11. CONS C	onsent	Adaptation Required			
	12. CREV C	redit Event	Adaptation Required			
	13. DFLT B	ond Default	Adaptation Required			
	14. DLST T	rading Status: Delisted	Adaptation Required			
	15. DRAW D	rawing	Adaptation Required	Additional data elements		
	16. DSCL D	isclosure	Adaptation Required			
	17. DTCH D	utch Auction	Adaptation Required	Additional data elements		
	18. EXOF E	xchange	Adaptation Required	Additional data elements		
	19. EXTM N	laturity Extension	Adaptation Required			
	20. INCR In	ocrease in Value	Adaptation Required			

	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:
	21. INFO In	oformation	Adaptation Required			
	22. INTR In	nterest Payment	Adaptation Required			
	23. LIQU Li	quidation Payment	Adaptation Required	Additional data elements		
	24. MCAL Fu	ull Call / Early Redemption	Adaptation Required			
	25. OTHR O	ther Event	Adaptation Required			
	26. PARI Pa	ari-Passu	Adaptation Required			
		artial Redemption Without Pool Factor eduction	Adaptation Required			
	28. PINK Pa	ayment in Kind	Adaptation Required			
	29. PLAC PI	lace of Incorporation	Adaptation Required			
	30. PPMT In	stalment Call	Adaptation Required			
		artial Redemption With Pool Factor eduction	Adaptation Required	- Additional data elements		
	32. REDM Fi	inal Maturity	Adaptation Required	Additional data elements		
	33. REDO R	edenomination	Adaptation Required			
	34. REMK R	emarketing Agreement	Adaptation Required			
	35. RHDI In	termediate Securities Distribution	Adaptation Required			
	36. SUSP Tr	rading Status: Suspended	Adaptation Required			
		ender / Acquisition / Takeover / urchase Offer	Adaptation Required			
	38. TREC T	ax Reclaim	Adaptation Required			
	39. WTRC W	Vithholding Tax Relief Certification	Adaptation Required			
	40. WRTH W	/orthless	Adaptation Required	Additional data elements		

	АМІ	-SeCo Standard		Feasibility Assessment		Implementation Mileston	es		
No.	Name of Standard	Standard	Adaptation Required?	Description of Changes Required	Legal Barrier Identified?	Please indicate the expected date of completion of the	he follo	owing activities:	
	Consistency of information	Investor (I)CSDs and Custodians shall remit information on CA				Analysis and Communication	Yes	No	n/a
	provided by Issuer	events in accordance with the				M1: Analysis started by 30/06/2020	×	□ DD-MM-YYYY	
	CSDs, Investor CSDs &	information received from the Issuer (I)CSD. All CA event types				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
	Custodians	announced by the Issuer CSD				M3: Analysis completed by 31/07/2021	\boxtimes	□ DD-MM-YYYY	
		must be supported by all Investor (I)CSDs / Custodians. All Issuer				M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
		CSDs shall use corporate action event types in a consistent				M5: Detailed external communication by 31/12/2021	\boxtimes	□ DD-MM-YYYY	
		manner.				Internal Adaptation	Yes	No	n/a
						M6: Adaptation started by 01/01/2022		□ DD-MM-YYYY	
3						M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		□ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	processed in a const accordance with the document, so that th types both within an CSDs. The CA even Standard. Please inc	events listed in the table below shall be stent manner across Europe in details specified in Section 4 of this ere is consistency in the usage of event individual CSD, and across different ts listed below are in the scope of the licate for each CA event whether irred in order to adhere to the Standard.							
	CA Event	CA Event Name							
	1. ACTV	Trading Status: Active	Adaptation Required						
	2. BIDS	Repurchase Offer / Issuer Bid / Reverse Rights	Adaptation Required	_					
	3. BMET	Bond Holder Meeting	Adaptation Required	_					
	4. BPUT	Put Redemption	Adaptation Required	Additional data elements					
	5. BRUP	Bankruptcy	Adaptation Required						
	6. CAPI	Capitalisation	Adaptation Required						
	7. CERT	Non-US TEFRA D Certification	Adaptation Required						

	АМ	I-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:
	8. CHAN	Change	Adaptation Required			
	9. CLSA	Class Action / Proposed Settlement	Adaptation Required			
	10. CMET	Court Meeting	Adaptation Required			
	11. CONS	Consent	Adaptation Required			
	12. CREV	Credit Event	Adaptation Required			
	13. DFLT	Bond Default	Adaptation Required			
	14. DLST	Trading Status: Delisted	Adaptation Required			
	15. DRAW	Drawing	Adaptation Required			
	16. DSCL	Disclosure	Adaptation Required			
	17. DTCH	Dutch Auction	Adaptation Required			
	18. EXOF	Exchange	Adaptation Required	_		
	19. EXTM	Maturity Extension	Adaptation Required			
	20. INCR	Increase in Value	Adaptation Required			
	21. INFO	Information	Adaptation Required	Additional data elements		
	22. INTR	Interest Payment	Adaptation Required			
	23. LIQU	Liquidation Payment	Adaptation Required			
	24. MCAL	Full Call / Early Redemption	Adaptation Required			
	25. OTHR	Other Event	Adaptation Required			
	26. PARI	Pari-Passu	Adaptation Required			
	27. PCAL	Partial Redemption Without Pool Factor Reduction	Adaptation Required			
	28. PINK	Payment in Kind	Adaptation Required			
	29. PLAC	Place of Incorporation	Adaptation			

	АМІ	I-SeCo Standard		Feasibility Assessment		Implementation Mileston	es		
No.	Name of Standard	Standard	Adaptation Required?	Description of Changes Required	Legal Barrier Identified?	Please indicate the expected date of completion of the	ne follo	owing activities:	
			Required						
	30. PPMT	Instalment Call	Adaptation Required						
	31. PRED	Partial Redemption With Pool Factor Reduction	Adaptation Required						
	32. REDM	Final Maturity	Adaptation Required						
	33. REDO	Redenomination	Adaptation Required						
	34. REMK	Remarketing Agreement	Adaptation Required						
	35. RHDI	Intermediate Securities Distribution	Adaptation Required	- Additional data elements					
	36. SUSP	Trading Status: Suspended	Adaptation Required	Additional data elements					
	37. TEND	Tender / Acquisition / Takeover / Purchase Offer	Adaptation Required						
	38. TREC	Tax Reclaim	Adaptation Required						
	39. WTRC	Withholding Tax Relief Certification	Adaptation Required						
	40. WRTH	Worthless	Adaptation Required	Additional data elements					
	Rounding rules	Harmonised rounding rules shall				Analysis and Communication	Yes	No	n/a
		be applied for the calculation of cash payments and securities				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
		movements.				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
						M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
						M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
						M5: Detailed external communication by 31/12/2021		☐ DD-MM-YYYY	
						Internal Adaptation	Yes	No	n/a
4						M6: Adaptation started by 01/01/2022		☐ DD-MM-YYYY	
7						M7: Adaptation completed by 30/06/2022		☐ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		☐ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		☐ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		☐ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	

	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 th	e follo	owing activities:	
	Rounding rule no.	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						
	Rounding rule no. 2	For securities movements, the securities amount should be rounded down to the nearest full unit.	Adaptation Required		Law provides other rounding options to issuers				
	Rounding rule no. 3	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).	Adaptation Required						
Additional Information	Rounding rule no. 4	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).	Adaptation Required		Law provides other rounding options to issuers				
	Negative cash	Issuer CSDs and Investor CSDs				Analysis and Communication	Yes	No	n/a
	flows	shall support the processing of corporate actions where the				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
		underlying security has a fixed				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
		negative interest rate or a floating rate coupon. Any negative interest				M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
		shall result in a cashflow from the Investor to the Issuer which shall				M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
5		be processed using the Interest	Adaptation Required	Changes in Rules of operation CDCP		M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
		Payment (INTR) event.				Internal Adaptation	Yes	No	n/a
						M6: Adaptation started by 01/01/2022		□ DD-MM-YYYY	
						M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	

	AMI-	SeCo Standard		Feasibility Assessment		Implementation Mileston	es		
No.	Name of Standard	Standard	Adaptation Required?	Description of Changes Required	Legal Barrier Identified?	Please indicate the expected date of completion of the	ne follo	wing activities:	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		□ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	floating interest rate, I Investor to the Issuer applicable to CSDs at and Investor CSD. If a positive interest rate, floor of zero or above the security), so that I	In negative interest rate, or with a may result in a payment from the of the security. The Standard is sting in their role as both Issuer CSD accepts only securities with a or with a floating rate coupon with a (fixed in the terms and conditions of negative cash payments do not occur, need to comply with this standard.							
	Business day rule	If the payment date of a corporate action falls on a non-business day				Analysis and Communication	Yes	No	n/a
		(in the country of the currency in				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
		which the payment is due), the payment shall be made on the next				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
	business day.	business day.				M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
						M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
						M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
						Internal Adaptation	Yes	No	n/a
			Adaptation	Changes in Rules of		M6: Adaptation started by 01/01/2022		□ DD-MM-YYYY	
6			Required	operation CDCP (processes and procedures)		M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	
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						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	the end of day on reco date falls on a non-bu currency in which the made on the next bus the security must not stipulating that if the r following month, the p	e always calculated on the positions at ord date. In the event that the payment is iness day in the country of the payment is due, the payment shall be iness day. The terms and conditions of have operational requirements lext business day would fall in the payment needs to be made in the same ent day being moved to precede the).							

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	ne follo	owing activities:	
	Securities amount	Securities amount data shall be							
	data	defined using nominal value for debt instruments (FAMT) and units				Analysis and Communication	Yes	No	n/a
		for non-debt instruments (UNIT).				M1: Analysis started by 30/06/2020		☐ DD-MM-YYYY	
						M2: Initial communication by 01/03/2021		☐ DD-MM-YYYY	
						M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
						M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
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						Internal Adaptation	Yes	No	n/a
_			landen et et			M6: Adaptation started by 01/01/2022		☐ DD-MM-YYYY	
1			Implemented			M7: Adaptation completed by 30/06/2022		☐ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		☐ DD-MM-YYYY	
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						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	data is consistent usa UNIT for equities. This	actice for defining securities amount ge of FAMT for debt instruments and s Standard builds upon the standard TZS markets and which should be opean basis.							
	Payment time	Corporate action cash proceeds				Analysis and Communication	Yes	No	n/a
		shall be distributed as early as possible, but no later than 12				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
		noon, on the corporate action				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
		payment date. For any corporate action event involving a partial or				M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
		full redemption, the cash proceeds should be made available by the				M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
8		Issuer CSD at the same time as the	Adaptation Required			M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
		processing of the partial or full redemption on the payment date	rtoquirou			Internal Adaptation	Yes	No	n/a
		so that relevant parties are				M6: Adaptation started by 01/01/2022		□ DD-MM-YYYY	
		compensated/paid in a timely fashion for the partial or full				M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	
		redemption.				M8: Internal testing started by 01/07/2022		□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	

	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	e follo	owing activities:	
		·				Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		□ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	Payment time for government bonds	For government bonds issued in domestic CSDs cash proceeds are paid no later than open for business of the payment system (i.e. 07:00 for TARGET2).	Adaptation Required						
	Payment time for corporate bonds	For corporate bonds, the current minimum requirement is that cash proceeds be distributed no later than noon in the time zone of the Issuer CSD (consistent with existing CAJWG Standards). In line with recent improvements in market infrastructure in Europe (e.g. through the introduction of T2S) there are opportunities to improve the current latest time by which payments should be made with a latest cut-off time of 10:30 already feasible in many markets.	Adaptation Required	Current process adaptation					
	Notification of	In the event that an issuer, issuer				Analysis and Communication	Yes	No	n/a
	processing status	agent, or Issuer CSD cannot process a Corporate Action on the				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
		previously announced Payment Date, then all Account Servicers				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
		shall inform Account Owners				M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
		about the delay as soon as possible and based on information				M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
		received from higher up the				M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
		custody chain.				Internal Adaptation	Yes	No	n/a
9			Adaptation	Current process adaptation		M6: Adaptation started by 01/01/2022		☐ DD-MM-YYYY	
			Required	current process adaptation		M7: Adaptation completed by 30/06/2022		☐ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		☐ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		□ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	When a Corporate Ad	ction cannot be processed on the							

	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	ne follo	owing activities:	
	respective agents sha information to the Issu the processing of the message containing to mandatory basis from Intermediaries shall p	Payment Date. Issuers and their all be responsible for providing uer CSD on the reasons for the delay in Corporate Action. A notification his information shall be provided on a the Issuer CSD to its clients. ass on the notification message hain to ensure all impacted parties are							
	Blocking of	For all Mandatory with Choice and				Analysis and Communication	Yes	No	n/a
	securities	Voluntary CA events involving a debit of securities, the Issuer CSD				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
		and all relevant intermediaries				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
		shall ensure that the elected security position is subject to				M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
		blocking.				M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
						M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
						Internal Adaptation	Yes	No	n/a
40			Adaptation	Ourment annual and advantation		M6: Adaptation started by 01/01/2022		☐ DD-MM-YYYY	
10			Required	Current process adaptation		M7: Adaptation completed by 30/06/2022		☐ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		☐ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		□ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	should be separated Underlying Securities Intermediaries. Accessed of CA events who blocking of securities time in which an invitrom being accessed shall include an inditional individual include an inditional individual include an inditional includes in the CA event part with Choice (CHOS) 2. The option results In the case of debt in and CA option combined in the case of debt in the case of debt in and CA option combined in the case of debt in the case of debt in and CA option combined in the case of debt in	es on which an election is made accounting-wise from non-elected as by the (I)CSD and all predingly there shall be a harmonised ere participation requires the ses (blocking refers to a period of estor's securities are prevented al). On this basis, Account Servicers cator in the CA notification message ity position will be blocked. A CSD" principle shall be applied. Es should take place when the ere that simultaneously: ticipation type is either Mandatory or Voluntary (VOLU) in a debit of a security position instruments, the following CA events binations are subject to blocking:							
	CA Event	Participation Type (Mandatory / Voluntary)							

	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	ne follo	owing activities:	
	BIDS	VOLU	Adaptation Required						
	BPUT	VOLU	Adaptation Required						
	CERT	CHOS	Adaptation Required						
	CONS	VOLU	Adaptation Required	Current process adaptation					
	DSCL	VOLU	Adaptation Required						
	DTCH	VOLU	Adaptation Required						
	EXOF	VOLU	Adaptation Required						
		CHOS	Adaptation Required						
	EXTM	CHOS	Adaptation Required						
	INTR	CHOS	Adaptation Required						
	LIQU	CHOS	Adaptation Required						
	MCAL	CHOS	Adaptation Required						
	OTHR	CHOS	Adaptation Required	Current process adaptation					
		VOLU	Adaptation Required						
	REDM	CHOS	Adaptation Required						
	TEND	VOLU	Adaptation Required						
	Availability of	Account Servicers shall ensure				Analysis and Communication	Yes	No	n/a
	default options	that a Corporate Action event notification message identifies the				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
		default option for that event.				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
						M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
11			Adaptation Required	Additional key data elements		M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
			•			M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
						Internal Adaptation	Yes	No	n/a
						M6: Adaptation started by 01/01/2022		□ DD-MM-YYYY	
						M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	

	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 t	he follo	owing activities:	
						M8: Internal testing started by 01/07/2022	\boxtimes	□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022	\boxtimes	□ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	events that have mor identified by the Issue through the custody o								
	Handling of fees for meeting	All fees (e.g. solicitation fees, consent fees) to be credited /				Analysis and Communication	Yes	No	n/a
	related CA events	debited as a result of participation				M1: Analysis started by 30/06/2020		☐ DD-MM-YYYY	
	in an event shall be confirmed via a CA confirmation message.				M2: Initial communication by 01/03/2021		☐ DD-MM-YYYY		
					M3: Analysis completed by 31/07/2021		☐ DD-MM-YYYY		
						M4: Documentation completed by 31/12/2021		☐ DD-MM-YYYY	
						M5: Detailed external communication by 31/12/2021		☐ DD-MM-YYYY	
						Internal Adaptation	Yes	No	n/a
12			Adaptation	Additional key data elements		M6: Adaptation started by 01/01/2022		☐ DD-MM-YYYY	
			Required	riadillorial noy data olonionio		M7: Adaptation completed by 30/06/2022		☐ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		☐ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		☐ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		☐ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		☐ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	for the handling of so as a result of participa	ould support harmonised procedures licitation fees and consent fees accrued ation in a meeting related event, which a a CA Confirmation message.							

	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	ne follo	owing activities:	
	Reversal of CA	A pre-advice message shall be				Analysis and Communication	Yes	No	n/a
	movements	issued in advance of any reversal of a CA. In case of a cash reversal,				M1: Analysis started by 30/06/2020		☐ DD-MM-YYYY	
		the pre-advice shall be sent sufficiently in advance of the				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
		reversal so that recipients have				M3: Analysis completed by 31/07/2021		☐ DD-MM-YYYY	
		adequate time for cash management.				M4: Documentation completed by 31/12/2021		☐ DD-MM-YYYY	
		management.				M5: Detailed external communication by 31/12/2021		☐ DD-MM-YYYY	
						Internal Adaptation	Yes	No	n/a
40			Adaptation	Current process adaptation,		M6: Adaptation started by 01/01/2022		☐ DD-MM-YYYY	
13			Required	introduction of MX msgs and additional key data elements		M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	
				•		M8: Internal testing started by 01/07/2022		☐ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		☐ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	before the reversal is	shall send a reversal announcement processed to allow the recipient of the time to pre-fund the reversal of the CA eversal takes place.							
	Processing of	To process payment in currencies				Analysis and Communication	Yes	No	n/a
	foreign currency CA payments	not eligible in the settlement system, the CSD must instruct the				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
		cash correspondent to debit the account of the paying agent and to				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
		pay the funds to an account of the				M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
		security holder. The CSD must send the corporate action				M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
		confirmation to the security holder				M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
		only upon receipt of the confirmation from the cash				Internal Adaptation	Yes	No	n/a
14		correspondent that the cash has	Adaptation	Current process adentation		M6: Adaptation started by 01/01/2022		□ DD-MM-YYYY	
14		been transferred successfully.	Required	Current process adaptation		M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		□ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	

	AMI-S	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	ne follo	owing activities:	
	currency not eligible in	urities paying cash proceeds in a nather the settlement system, the CSD a process to handle payments in that							
	ISO 20022	Account Servicers shall have the				Analysis and Communication	Yes	No	n/a
	messages for capability to support IS corporate actions messages for the process	capability to support ISO 20022 messages for the processing of				M1: Analysis started by 30/06/2020		□ DD-MM-YYYY	
		corporate actions.				M2: Initial communication by 01/03/2021		□ DD-MM-YYYY	
						M3: Analysis completed by 31/07/2021		□ DD-MM-YYYY	
						M4: Documentation completed by 31/12/2021		□ DD-MM-YYYY	
						M5: Detailed external communication by 31/12/2021		□ DD-MM-YYYY	
						Internal Adaptation	Yes	No	n/a
45						M6: Adaptation started by 01/01/2022		□ DD-MM-YYYY	
15						M7: Adaptation completed by 30/06/2022		□ DD-MM-YYYY	
						M8: Internal testing started by 01/07/2022		□ DD-MM-YYYY	
						M9: Internal testing complete by 02/12/2022		□ DD-MM-YYYY	
						Testing and Implementation	Yes	No	n/a
						M10: External testing started by 05/12/2022		□ DD-MM-YYYY	
						M11: Final external communication by 01/04/2023		□ DD-MM-YYYY	
						M12: External testing completed by 13/10/2023		□ DD-MM-YYYY	
						M13: Standard implemented by 20/11/2023		□ DD-MM-YYYY	
	Message Name	Message Identifier							
	Corporate Action Notification	seev.031	Adaptation Required						
	Corporate Action Event Processing Status Advice	seev.032	Adaptation Required						
	Corporate Action Instruction	seev.033	Adaptation Required						
	Corporate Action Instruction Status Advice	seev.034	Adaptation Required	Current process adaptation					
	Corporate Action Movement Preliminary Advice	seev.035	Adaptation Required						
	Corporate Action Movement Confirmation	seev.036	Adaptation Required						
	Corporate Action Movement Reversal Advice	seev.037	Adaptation Required						

	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:
	Corporate Action Cancellation Advice	seev.039	Adaptation Required			
	Corporate Action Instruction Cancellation Request	seev.040	Adaptation Required			
	Corporate Action Instruction Cancellation Request Status Advice	seev.041	Adaptation Required			
	Corporate Action Instruction Statement Report	seev.042	Adaptation Required			
	Corporate Action Movement Preliminary Advice Cancellation Advice	seev.044	Adaptation Required			
	Meeting Notification	seev.001	Adaptation Required	Current process adaptation		
	Meeting Cancellation	seev.002	Adaptation Required			
	Meeting Entitlement Notification	seev.003	Adaptation Required			
	Meeting Instruction	seev.004	Adaptation Required			
	Meeting Instruction Cancellation Request	seev.005	Adaptation Required			
	Meeting Instruction Status	seev.006	Adaptation Required			
	Meeting Vote Execution Confirmation	seev.007	Adaptation Required			
	Meeting Result Dissemination	seev.008	Adaptation Required			