

Corporate Actions Adaptation Plan

BNP Paribas Securities Services

| Activity | Corporate Actions |
|--------------------------|---------------------------------------|
| Plan submitted by | BNP Paribas Securities Services - TPA |
| NSG | France |
| 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

BNP Paribas Securities Services is a strong supporter and active contributor to any initiative to harmonise corporate actions management practices across European markets and is especially committed to implement the first set of Standards endorsed by AMI-SeCo.

The adaptation plan provides a detailed overview of our readiness for each Standard. For in-scope Standards which are not yet fully implemented, the detailed impact analysis is in progress and, therefore, the comments and timeline included in the report are indicative, at this stage of the monitoring process.

The implementation of ISO20022 messaging standards is coordinated by dedicated project governance within BNP Paribas Securities Services. The analysis is in progress for Corporate Actions messages and the final assessment, as well as the definitive timeline for implementation, will only be confirmed upon completion of the work of the dedicated working group.

BNP Paribas Securities Services is sending communication to clients about AMI-SeCo Standards on a regular basis, as we progress in the adaptation process.

© European Central Bank, 2021

Postal address 60640 Frankfurt am Main, Germany

Telephone +49 69 1344 0

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The European Central Bank (ECB) provides the secretariat for the Advisory Group on Market Infrastructures for Securities and Collateral (AMI-SeCo) and is publishing the report solely in this capacity. The ECB does not however accept any responsibility or liability for the contents of the document and the fact that the ECB provides the secretariat for the AMI-SeCo should not be taken as implying in any way that it shares the views expressed in the document.

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 | |
| | | | | | | M1: Analysis started by 30/06/2020 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/01/2023 | <input type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 31/07/2023 | <input type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 30/09/2023 | <input type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/03/2023 | <input type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 31/12/2023 | <input type="checkbox"/> |
| | | | | | | Internal Adaptation | | | |
| | | | | | | Yes | No | n/a | |
| | | | | | | M6: Adaptation started by 01/01/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/01/2023 | <input type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 30/06/2024 | <input type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/07/2024 | <input type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 02/12/2024 | <input type="checkbox"/> |
| | | | | | | Testing and Implementation | | | |
| Yes | No | n/a | | | | | | | |
| M10: External testing started by 05/12/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/12/2024 | <input type="checkbox"/> | | | | | | |
| M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/10/2025 | <input type="checkbox"/> | | | | | | |
| M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/04/2025 | <input type="checkbox"/> | | | | | | |
| M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/11/2025 | <input type="checkbox"/> | | | | | | |
| 1A | Corporate Action Notification | <i>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.</i> | | | | | | | |
| Additional Information | Business Processes & Workflows | Key Data Elements | | | | | | | |
| | 1a. Notify [ca.1.01] | Table 1 | Adaptation Required | New message format to be developed and tested | No | | | | |
| | 1b. Update [ca.1.02] | Table 1 | Adaptation Required | | | | | | |
| | 1c. Cancel [ca.1.03] | Table 2 | Adaptation Required | | | | | | |
| 1B | Corporate Action Instruction | <i>Instructions on elective corporate actions shall be processed in accordance with a set of</i> | | | | | | | |

| 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: |
| | | <i>harmonised business processes, workflows and key data elements.</i> | | | | |
| Additional Information | Business Processes & Workflows | Key Data Elements | | | | |
| | 2a. Instruction [ca.2.01] | Table 3 | Adaptation Required | New message format to be developed and tested | No | |
| | 2b. Instruction Status Advice [ca.2.02] | Table 4 | Adaptation Required | | | |
| | 2c. Instruction Cancellation Request [ca.2.03] | Table 5 | Adaptation Required | | | |
| | 2d. Instruction Cancellation Request Status Advice [ca.2.04] | Table 6 | Adaptation Required | | | |
| 1C | Corporate Action Advice | <i>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.</i> | | | | |
| Additional Information | Business Processes & Workflows | Key Data Elements | | | | |
| | 3a. Movement Preliminary Advice [ca.3.01] | Table 7 | Adaptation Required | New message format to be developed and tested | No | |
| | 3b. Movement Preliminary Advice Cancellation [ca.3.02] | Table 8 | Adaptation Required | | | |
| 1D | Corporate Action Confirmation | <i>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.</i> | | | | |
| Additional Information | Applicable Business Processes & Workflows | 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: |
| | 4a. CA Event Processing Status Advice[ca.4.01] | Table 9 | Adaptation Required | New message format to be developed and tested | No | |
| | 4b. Movement Confirmation [ca.4.02] | Table 10 | | | | |
| | 4c. Payment Confirmation [ca.4.03] | Table A and B | Adaptation Required | New message format to be developed and tested | No | |
| 1E | Corporate Action Reversal | <i>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.</i> | | | | |
| Additional Information | Applicable Business Processes & Workflows | Key Data Elements | | | | |
| | 5a. Movement Preliminary Advice [ca.5.01] | Table 7 | Adaptation Required | New message format to be developed and tested | No | |
| | 5b. Payment Confirmation [ca.5.02] | Table A and B | | | | |
| | 5c. Movement Reversal Advice [ca.5.03] | Table 11 | Adaptation Required | New message format to be developed and tested | No | |
| 1F | Meeting Event Notifications | <i>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.</i> | | | | |
| Additional Information | Business Processes & Workflows | Key Data Elements | | | | |
| | 1a. Meeting Notification [me.1.01] | Table 12 | Implemented | In the framework of SRD2 project the messages ISO 20022 has been implemented from September 2020 | | |
| | 1b. Meeting Cancellation [me.1.02] | Table 13 | Implemented | | | |
| | 1c. Meeting Entitlement Notification [me.1.03] | Table 14 | Implemented | | | |

| 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: | | | |
| 1G | Meeting Event Instructions | <i>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.</i> | | | | | | | |
| Additional Information | Business Processes & Workflows | Key Data Elements | | | | | | | |
| | 2a. Meeting Instruction [me.2.01] | Table 15 | Implemented | In the framework of SRD2 project the messages ISO 20022 has been implemented from September 2020 | | | | | |
| | 2b. Meeting Instruction Cancellation Request [me.2.02] | Table 17 | Implemented | | | | | | |
| | 2c. Meeting Instruction Status [me.2.03] | Table 16 | Implemented | | | | | | |
| | 2d. Meeting Vote Execution Confirmation [me.2.04] | Table 18 | Implemented | | | | | | |
| Meeting Event Results | <i>The Account Servicer shall 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 19 | Adaptation Required | New message format to be developed and tested | No | | | | |
| 2 | Provision of data necessary for calculation of proceeds | <i>The corporate action notification, as communicated by the Account Servicer, shall 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |
| M5: Detailed external communication by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |

| 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: | | | | | |
| | | | | | | Internal Adaptation | | | Yes | No | n/a |
| | | | | | | M6: Adaptation started by 01/01/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> | | |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| Business Processes & Workflows | | | | | | | | | | | |
| | CA Event ID | CA Event Name | | | | | | | | | |
| 1. | ACTV | Trading Status: Active | N/A | | | | | | | | |
| 2. | BIDS | Repurchase Offer / Issuer Bid / Reverse Rights | Implemented | | | | | | | | |
| 3. | BMET | Bond Holder Meeting | N/A | | | | | | | | |
| 4. | BPUT | Put Redemption | Implemented | | | | | | | | |
| 5. | BRUP | Bankruptcy | Implemented | | | | | | | | |
| 6. | CAPI | Capitalisation | Implemented | | | | | | | | |
| 7. | CERT | Non-US TEFRA D Certification | N/A | | | | | | | | |
| 8. | CHAN | Change | Implemented | | | | | | | | |
| 9. | CLSA | Class Action / Proposed Settlement | Implemented | | | | | | | | |
| 10. | CMET | Court Meeting | N/A | | | | | | | | |
| 11. | CONS | Consent | N/A | | | | | | | | |
| 12. | CREV | Credit Event | N/A | | | | | | | | |
| 13. | DFLT | Bond Default | N/A | | | | | | | | |
| 14. | DLST | Trading Status: Delisted | N/A | | | | | | | | |
| 15. | DRAW | Drawing | Implemented | | | | | | | | |
| 16. | DSCL | Disclosure | Implemented | | | | | | | | |

| 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: |
| 17. | DTCH | Dutch Auction | Implemented | | | |
| 18. | EXOF | Exchange | Implemented | | | |
| 19. | EXTM | Maturity Extension | Implemented | | | |
| 20. | INCR | Increase in Value | N/A | | | |
| 21. | INFO | Information | N/A | | | |
| 22. | INTR | Interest Payment | Implemented | | | |
| 23. | LIQU | Liquidation Payment | Implemented | | | |
| 24. | MCAL | Full Call / Early Redemption | Implemented | | | |
| 25. | OTHR | Other Event | Implemented | | | |
| 26. | PARI | Pari-Passu | Implemented | | | |
| 27. | PCAL | Partial Redemption Without Pool Factor Reduction | Implemented | | | |
| 28. | PINK | Payment in Kind | Implemented | | | |
| 29. | PLAC | Place of Incorporation | N/A | | | |
| 30. | PPMT | Instalment Call | Implemented | | | |
| 31. | PRED | Partial Redemption With Pool Factor Reduction | Implemented | | | |
| 32. | REDM | Final Maturity | Implemented | | | |
| 33. | REDO | Redenomination | Implemented | | | |
| 34. | REMK | Remarketing Agreement | N/A | | | |
| 35. | RHDI | Intermediate Securities Distribution | Implemented | | | |
| 36. | SUSP | Trading Status: Suspended | N/A | | | |
| 37. | TEND | Tender / Acquisition / Takeover / Purchase Offer | Implemented | | | |
| 38. | TREC | Tax Reclaim | N/A | | | |
| 39. | WTRC | Withholding Tax Relief Certification | N/A | | | |
| 40. | WRTH | Worthless | Implemented | | | |

| 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: | | | | | |
| 3 | Consistency of information provided by Issuer CSDs, Investor CSDs & Custodians | <i>Investor (I)CSDs and Custodians shall remit information on CA events in accordance with the information received from the Issuer (I)CSD. All CA event types announced by the Issuer CSD must be supported by all Investor (I)CSDs / Custodians. All Issuer CSDs shall use corporate action event types in a consistent manner.</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 checked="" type="checkbox"/> | | |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> | | |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | |
| M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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> | | | | | | | | | | | |
| | CA Event ID | CA Event Name | | | | | | | | | |
| 1. | ACTV | Trading Status: Active | N/A | | | | | | | | |
| 2. | BIDS | Repurchase Offer / Issuer Bid / Reverse Rights | Implemented | | | | | | | | |
| 3. | BMET | Bond Holder Meeting | Implemented | | | | | | | | |
| 4. | BPUT | Put Redemption | Implemented | | | | | | | | |
| 5. | BRUP | Bankruptcy | Implemented | | | | | | | | |
| 6. | CAPI | Capitalisation | Implemented | | | | | | | | |
| 7. | CERT | Non-US TEFRA D Certification | N/A | | | | | | | | |
| 8. | CHAN | Change | Implemented | | | | | | | | |

| 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: |
| 9. | CLSA | Class Action / Proposed Settlement | Implemented | | | |
| 10. | CMET | Court Meeting | Implemented | | | |
| 11. | CONS | Consent | Implemented | | | |
| 12. | CREV | Credit Event | Implemented | | | |
| 13. | DFLT | Bond Default | Implemented | | | |
| 14. | DLST | Trading Status: Delisted | N/A | | | |
| 15. | DRAW | Drawing | Implemented | | | |
| 16. | DSCL | Disclosure | Implemented | | | |
| 17. | DTCH | Dutch Auction | Implemented | | | |
| 18. | EXOF | Exchange | Implemented | | | |
| 19. | EXTM | Maturity Extension | Implemented | | | |
| 20. | INCR | Increase in Value | Implemented | | | |
| 21. | INFO | Information | Implemented | | | |
| 22. | INTR | Interest Payment | Implemented | | | |
| 23. | LIQU | Liquidation Payment | Implemented | | | |
| 24. | MCAL | Full Call / Early Redemption | Implemented | | | |
| 25. | OTHR | Other Event | N/A | | | |
| 26. | PARI | Pari-Passu | Implemented | | | |
| 27. | PCAL | Partial Redemption Without Pool Factor Reduction | Implemented | | | |
| 28. | PINK | Payment in Kind | Implemented | | | |
| 29. | PLAC | Place of Incorporation | N/A | | | |
| 30. | PPMT | Instalment Call | Implemented | | | |
| 31. | PRED | Partial Redemption With Pool Factor Reduction | Implemented | | | |
| 32. | REDM | Final Maturity | Implemented | | | |
| 33. | REDO | Redenomination | Implemented | | | |

| 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: | | | |
| 34. | REMK | Remarketing Agreement | Implemented | | | | | | |
| 35. | RHDI | Intermediate Securities Distribution | Implemented | | | | | | |
| 36. | SUSP | Trading Status: Suspended | N/A | | | | | | |
| 37. | TEND | Tender / Acquisition / Takeover / Purchase Offer | Implemented | | | | | | |
| 38. | TREC | Tax Reclaim | N/A | | | | | | |
| 39. | WTRC | Withholding Tax Relief Certification | N/A | | | | | | |
| 40. | WRTH | Worthless | Implemented | | | | | | |
| 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> | | | | | | |
| M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |
| M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |
| M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |
| Additional | 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 | Implemented | | | | | | |

| 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: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | 2.556 should be rounded down to EUR 2.55 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Rounding rule no. 2 | For securities movements, the securities amount should be rounded down to the nearest full unit. | Implemented | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 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). | Implemented | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 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). | Implemented | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | Negative cash flows | <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> | Implemented | | No | <table border="1"> <thead> <tr> <th colspan="4">Analysis and Communication</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> </thead> <tbody> <tr> <td>M1:</td> <td>Analysis started by 30/06/2020</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <td>M2:</td> <td>Initial communication by 01/03/2021</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <td>M3:</td> <td>Analysis completed by 31/07/2021</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <td>M4:</td> <td>Documentation completed by 31/12/2021</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <td>M5:</td> <td>Detailed external communication by 31/12/2021</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <th colspan="4">Internal Adaptation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M6:</td> <td>Adaptation started by 01/01/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <td>M7:</td> <td>Adaptation completed by 30/06/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <td>M8:</td> <td>Internal testing started by 01/07/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <td>M9:</td> <td>Internal testing complete by 02/12/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <th colspan="4">Testing and Implementation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M10:</td> <td>External testing started by 05/12/2022</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <td>M11:</td> <td>Final external communication by 01/04/2023</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></td> </tr> <tr> <td>M12:</td> <td>External testing completed by 13/10/2023</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input checked="" type="checkbox"/></td> <td></td> <td></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 checked="" type="checkbox"/> | | | M2: | Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | M3: | Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | M4: | Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | M5: | Detailed external communication by 31/12/2021 | <input 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | M7: | Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | M8: | Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | M9: | Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> | | | M11: | Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | M12: | External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | |
| Analysis and Communication | | | | Yes | No | n/a | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M1: | Analysis started by 30/06/2020 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M2: | Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M3: | Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M4: | Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M5: | Detailed external communication by 31/12/2021 | <input 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M7: | Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M8: | Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M9: | Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M11: | Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M12: | External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| 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: | | | |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | <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> | | | | | | | |
| 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.</i> | Implemented | | | Analysis and Communication | Yes | No | n/a |
| | | | | | | M1: Analysis started by 30/06/2020 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | <i>Payment amounts are always calculated on the positions at the end of day on record date. In the event that the payment date 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. The terms and conditions of the security must not have operational requirements stipulating that if the next business day would fall in the following month, the payment needs to be made in the same month (with the payment day being moved to precede the original payment date).</i> | | | | | | | |

| 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: | | | |
| 7 | Securities amount data | <i>Securities amount data shall be defined using nominal value for debt instruments (FAMT) and units for non-debt instruments (UNIT).</i> | Implemented | Exception on the Government Bonds expressed in "Franc de Rente", specificity of the French market | | Analysis and Communication | Yes | No | n/a |
| | | | | | | M1: Analysis started by 30/06/2020 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |
| M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |
| | <i>The EU's standard practice for defining securities amount data is consistent usage of FAMT for debt instruments and UNIT for equities. This Standard builds upon the standard currently applicable in T2S markets and which should be applied on a pan-European basis.</i> | | | | | | | | |
| 8 | Payment time | <i>Corporate action cash proceeds shall be distributed as early as possible, but no later than 12 noon, on the corporate action payment date. For any corporate action event involving a partial or full redemption, the cash proceeds should be made available by the Issuer CSD at the same time as the processing of the partial or full redemption on the payment date so that relevant parties are compensated/paid in a timely fashion for the partial or full redemption.</i> | N/A | The cash proceeds are distributed no later than 12 noon, but we can received the cash from CSD after this timing, around 35% of events, and this case the cash is paid at the reception. | | Analysis and Communication | Yes | No | n/a |
| | | | | | | M1: Analysis started by 30/06/2020 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |

| 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: | | | |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | 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). | N/A | | | | | | |
| | 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. | N/A | | | | | | |
| 9 | Notification of processing status | <i>In the event that an issuer, issuer agent, or Issuer CSD cannot process a Corporate Action on the previously announced Payment Date, then all Account Servicers shall inform Account Owners about the delay as soon as possible and based on information received from higher up the custody chain.</i> | Adaptation Required | New message format to be developed and tested | No | 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"/> | | | | | | |

| 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: | | | |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | <i>When a Corporate Action cannot be processed on the previously announced Payment Date, 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. A notification message containing this information shall be provided on a mandatory basis from the Issuer CSD to its clients. Intermediaries shall pass on the notification message through the custody chain to ensure all impacted parties are informed of the delay.</i> | | | | | | | |
| 10 | Blocking of securities | <i>For all Mandatory with Choice and Voluntary CA events involving a debit of securities, the Issuer CSD and all relevant intermediaries shall ensure that the elected security position is subject to blocking.</i> | Adaptation Required | Only the current message to adapt | | 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"/> |

| 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: | | | |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | <p><i>Underlying Securities on which an election is made should be separated accounting-wise from non-elected Underlying Securities by the (I)CSD and all Intermediaries. Accordingly there shall be a harmonised set of CA events where participation requires the blocking of securities (blocking refers to a period of time in which an investor's securities are prevented from being accessed). On this basis, Account Servicers shall include an indicator in the CA notification message to identify if a security position will be blocked. A "Follow-the-Issuer CSD" principle shall be applied.</i></p> <p><i>Blocking of securities should take place when the following criteria are met simultaneously:</i></p> <p><i>1. The CA event participation type is either Mandatory with Choice (CHOS) or Voluntary (VOLU)</i></p> <p><i>2. The option results in a debit of a security position</i></p> <p><i>In the case of debt instruments, the following CA events and CA option combinations are subject to blocking:</i></p> | | | | | | | |
| | CA Event | Participation Type (Mandatory / Voluntary) | | | | | | | |
| | BIDS | VOLU | Implemented | | | | | | |
| | BPUT | VOLU | Implemented | | | | | | |
| | CERT | CHOS | N/A | | | | | | |
| | CONS | VOLU | Implemented | | | | | | |
| | DSCL | VOLU | Implemented | | | | | | |
| | DTCH | VOLU | Implemented | | | | | | |
| | EXOF | VOLU | Implemented | | | | | | |
| | | CHOS | Implemented | | | | | | |
| | EXTM | CHOS | Implemented | | | | | | |
| | INTR | CHOS | Implemented | | | | | | |
| | LIQU | CHOS | Implemented | | | | | | |
| | MCAL | CHOS | Implemented | | | | | | |
| | OTHR | CHOS | N/A | | | | | | |

| 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: | | | |
| | | VOLU | N/A | | | | | | |
| | REDM | CHOS | Implemented | | | | | | |
| | TEND | VOLU | Implemented | | | | | | |
| 11 | Availability of default options | <i>Account Servicers shall ensure that a Corporate Action event notification message identifies the default option for that event.</i> | Implemented | | | Analysis and Communication | Yes | No | n/a |
| | | | | | | M1: Analysis started by 30/06/2020 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input 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 type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |
| M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> | | | | | | |
| | | <i>A default option should be present in all Corporate Action events that have more than one option. The default option as identified by the Issuer CSD must be transmitted unchanged through the custody chain.</i> | | | | | | | |
| 12 | Handling of fees for meeting related CA events | <i>All fees (e.g. solicitation fees, consent fees) to be credited / debited as a result of participation in an event shall be confirmed via a CA confirmation message.</i> | Adaptation Required | New message format to be developed and tested | No | 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 |

| 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: | | | |
| | | | | | | 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>Account Servicers should support harmonised procedures for the handling of solicitation fees and consent fees accrued as a result of participation in a meeting related event, which shall be confirmed via a CA Confirmation message.</i> | | | | | | | |
| 13 | Reversal of CA movements | <i>A pre-advice message shall be issued in advance of any reversal of a CA. In case of a cash reversal, the pre-advice shall be sent sufficiently in advance of the reversal so that recipients have adequate time for cash management.</i> | Adaptation Required | New message format to be developed and tested | No | 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 Account Servicer shall send a reversal announcement before the reversal is processed to allow the recipient of the CA payment sufficient time to pre-fund the reversal of the CA proceeds before the reversal takes place.</i> | | | | | | | |
| 14 | Processing of foreign currency CA payments | <i>To process payment 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 the corporate action confirmation to the security holder only upon receipt of the</i> | N/A | This standard concerns the CSD's | | Analysis and Communication | Yes | No | n/a |
| | | | | | | M1: Analysis started by 30/06/2020 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |

| 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: | | | |
| | | <i>confirmation from the cash correspondent that the cash has been transferred successfully.</i> | | | | Internal Adaptation | Yes | No | n/a |
| | | | | | | M6: Adaptation started by 01/01/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" 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 checked="" type="checkbox"/> |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input checked="" type="checkbox"/> |
| | | <i>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.</i> | | | | | | | |
| 15 | ISO 20022 messages for corporate actions | <i>Account Servicers shall have the capability to support ISO 20022 messages for the processing of corporate actions.</i> | | | | Analysis and Communication | Yes | No | n/a |
| | | | | | | M1: Analysis started by 30/06/2020 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/01/2023 | <input type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 31/07/2023 | <input type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 30/09/2023 | <input type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/03/2023 | <input type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 31/12/2023 | <input type="checkbox"/> |
| | | | | | | Internal Adaptation | Yes | No | n/a |
| | | | | | | M6: Adaptation started by 01/01/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/01/2023 | <input type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 30/06/2024 | <input type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/07/2024 | <input type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 02/12/2024 | <input type="checkbox"/> |
| | | | | | | Testing and Implementation | Yes | No | n/a |
| | | | | | | M10: External testing started by 05/12/2022 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/12/2024 | <input type="checkbox"/> |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/10/2025 | <input type="checkbox"/> |
| | | | | | | M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/04/2025 | <input type="checkbox"/> |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input checked="" type="checkbox"/> 01/11/2025 | <input type="checkbox"/> |
| | Message Name | Message Identifier | | | | | | | |
| | Corporate Action Notification | seev.031 | Adaptation Required | New message format to be developed and tested | No | | | | |

| 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 Event Processing Status Advice | seev.032 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Instruction | seev.033 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Instruction Status Advice | seev.034 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Movement Preliminary Advice | seev.035 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Movement Confirmation | seev.036 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Movement Reversal Advice | seev.037 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Cancellation Advice | seev.039 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Instruction Cancellation Request | seev.040 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Instruction Cancellation Request Status Advice | seev.041 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Instruction Statement Report | seev.042 | Adaptation Required | New message format to be developed and tested | No | |
| | Corporate Action Movement Preliminary Advice Cancellation Advice | seev.044 | Adaptation Required | New message format to be developed and tested | No | |
| | Meeting Notification | seev.001 | Implemented | In the framework of SRD2 project the messages ISO 20022 has been implemented from September 2020 | No | |
| | Meeting Cancellation | seev.002 | Implemented | In the framework of SRD2 project the messages ISO 20022 has been implemented from September 2020 | No | |

| 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: |
| | Meeting Entitlement Notification | seev.003 | Implemented | In the framework of SRD2 project the messages ISO 20022 has been implemented from September 2020 | No | |
| | Meeting Instruction | seev.004 | Implemented | In the framework of SRD2 project the messages ISO 20022 has been implemented from September 2020 | No | |
| | Meeting Instruction Cancellation Request | seev.005 | Implemented | In the framework of SRD2 project the messages ISO 20022 has been implemented from September 2020 | No | |
| | Meeting Instruction Status | seev.006 | Implemented | In the framework of SRD2 project the messages ISO 20022 has been implemented from September 2020 | No | |
| | Meeting Vote Execution Confirmation | seev.007 | Implemented | In the framework of SRD2 project the messages ISO 20022 has been implemented from September 2020 | No | |
| | Meeting Result Dissemination | seev.008 | Implementation Started | In the framework of SRD2 project the messages ISO 20022 will be implemented on Q2 2021 | No | |