

Corporate Actions Adaptation Plan

OeKB CSD

| Activity | Corporate Actions |
|--------------------------|-------------------|
| Plan submitted by | OeKB CSD GmbH |
| NSG | Austria |
| 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

In general Business Processes & Workflows in the area of Corporate Actions are in place. Messaging is currently based on ISO 15022 and ISO 20022 will be implemented in parallel until 2023.

"Meeting Notification", "Meeting Cancellation", "Meeting Entitlement Notification" and "Meeting Dissemination" were implemented in ISO 20022 in 2020. Proxy Voting still has to be implemented in ISO 20022 (currently only ISO 15022).

For some of the mentioned 40 CA Event IDs (such as ACTV, BRUP, DLST, EXTM, PLAC, SUSP) it should be considered to discuss whether or not they should remain on the ISO list. There are doubts whether there would be a source to provide that kind of information (with the exception of EXTM for which information is communicated by the issuer or its paying agent). Other mentioned Event IDs (such as CAPI, CLSA, CMET, DRAW, INCR, PINK, PPMT, REMK) are currently not used in the Austrian Market but will be handled referring to shares held as Investor CSD. Conclusion: If information on these 40 CA Event IDs referring to shares held as Investor CSD is received from the Issuer CSD it will be communicated to the clients while usage of the above mentioned ACTV, BRUP, DLST, EXTM, PLAC, SUSP needs to be discussed when acting as Issuer CSD.

Standard 4, Rounding rule no. 1: Even though the Austrian market believes (as already raised before) that commercial rounding would be the correct method. rounding down will be implemented.

Standard 4, Rounding rule no. 2: Currently commercial rounding is implemented which can be changed to rounding down. In cases where the smallest denomination is < 1 it must be possible to match the decimals of the smallest denomination (to be included in the "Corporate Actions Harmonisation Standards" document). However (e.g. in case of PCAL) if every partially redeemed client position is rounded down there will be a mismatch between all redeemed client positions vs. position redeemed on the global certificate. This is a topic of implementation of standard 4 and should be raised in the CMH-TF expert group on asset servicing.

Standard 5: OeKB CSD will consult with issuers and participants in order to decide in due time whether or not to support such process in the future or to exclude securities with a negative interest rate.

Standard 6: This standard is not in line with the terms and conditions of some bonds that are already available on the market. Hence, it will need further discussions in the CMH-TF expert group on asset servicing.

Standard 7: As there are several debt-instruments (bonds) issued in units in the Austrian Market adaption is needed in order to implement this standard for such already existing bonds (as defined under standard 7 in the July/2019 version of the "Corporate Actions Harmonisation Standards" rulebook). This is also good for Hybrid Certificates, as they are also issued in units and are considered to be debt-instruments (bonds) from a legal point of view. As this affects a few thousand securities issued per year on the Austrian Market discussions with issuers are necessary.

Standard 8: In order to be in line with this standard a new payment time has to be adopted.

Standard 9: "Notification of processing status" is not implemented. Forwarding of the reason for the delay is only possible if received proactively (we suggest to include the term "proactively" in the "Corporate Actions Harmonisation Standards" rulebook) from the issuer.

Standard 13: Not implemented yet but will be implemented. However several implementation issues (such as the exact timing of processing) need to be considered further and have to be raised in the CMH-TF expert group on asset servicing.

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

2 Adaptation Plan Table

| AMI-SeCo Standard | | | Feasibility Assessment | | | Implementation Milestones | | | | |
|---|--|--|------------------------|--|---------------------------|--|-------------------------------------|--------------------------|------------|--------------------------|
| No. | Name of Standard | Standard | Adaptation Required? | Description of Changes Required | Legal Barrier Identified? | Please indicate the expected date of completion of the following activities: | | | | |
| 1 | Harmonised business process and workflows per CA event | The Business Processes & Workflows and Key Data Elements are described in the following sections of the AMI-SeCo Corporate Action Standards document. Please refer to Standards 1A to 1H below: | | | | Analysis and Communication | | | | |
| | | | | | | Yes | No | n/a | | |
| | | | | | | 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"/> | | | | | | |
| 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 | Notify Workflow in place but based on ISO 15022. | | | | | | |
| | 1b. Update [ca.1.02] | Table 1 | Adaptation Required | Update Workflow in place but based on ISO 15022. | | | | | | |
| | 1c. Cancel [ca.1.03] | Table 2 | Adaptation Required | Cancel Workflow in place but based on ISO 15022. | | | | | | |
| 1B | Corporate Action Instruction | <i>Instructions on elective corporate actions shall be processed in accordance with a set of harmonised business processes, workflows and key data elements.</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: |
| Additional Information | Business Processes & Workflows | Key Data Elements | | | | |
| | 2a. Instruction [ca.2.01] | Table 3 | Adaptation Required | Instruction Workflow in place but based on ISO 15022. | | |
| | 2b. Instruction Status Advice [ca.2.02] | Table 4 | Adaptation Required | Instruction Status Advice Workflow in place but based on ISO 15022. | | |
| | 2c. Instruction Cancellation Request [ca.2.03] | Table 5 | Adaptation Required | Instruction Cancellation Request Workflow in place but based on ISO 15022. | | |
| | 2d. Instruction Cancellation Request Status Advice [ca.2.04] | Table 6 | Adaptation Required | Instruction Cancellation Request Status Advice in place but based on ISO 15022. | | |
| 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 | In place but ISO 15022 | | |
| | 3b. Movement Preliminary Advice Cancellation [ca.3.02] | Table 8 | Adaptation Required | In place but ISO 15022 | | |
| 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 | | | | |
| | 4a. CA Event Processing Status Advice[ca.4.01] | Table 9 | Adaptation Required | In place but ISO 15022 | | |
| | 4b. Movement Confirmation [ca.4.02] | Table 10 | | | | |

| 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: |
| | 4c. Payment Confirmation [ca.4.03] | Table A and B | Adaptation Required | Not implemented | | |
| 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> | | | | |
| | Applicable Business Processes & Workflows | Key Data Elements | | | | |
| Additional Information | 5a. Movement Preliminary Advice [ca.5.01] | Table 7 | Adaptation Required | Not implemented | | |
| | 5b. Payment Confirmation [ca.5.02] | Table A and B | | | | |
| | 5c. Movement Reversal Advice [ca.5.03] | Table 11 | Adaptation Required | In place but ISO 15022 | | |
| 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> | | | | |
| | Business Processes & Workflows | Key Data Elements | | | | |
| Additional Information | 1a. Meeting Notification [me.1.01] | Table 12 | Implemented | | | |
| | 1b. Meeting Cancellation [me.1.02] | Table 13 | Implemented | | | |
| | 1c. Meeting Entitlement Notification [me.1.03] | Table 14 | Implemented | | | |
| 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> | | | | |
| | Business Processes & Workflows | Key Data Elements | | | | |
| Additional Information | 2a. Meeting Instruction [me.2.01] | Table 15 | Adaptation Required | In place but ISO 15022 | | |

| 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: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 2b. Meeting Instruction Cancellation Request [me.2.02] | Table 17 | Adaptation Required | In place but ISO 15022 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 2c. Meeting Instruction Status [me.2.03] | Table 16 | Adaptation Required | Not implemented | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 2d. Meeting Vote Execution Confirmation [me.2.04] | Table 18 | Adaptation Required | Not implemented | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1H | 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 | Implemented | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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> | | | | <table border="1"> <thead> <tr> <th>Analysis and Communication</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> </thead> <tbody> <tr> <td>M1: Analysis started by 30/06/2020</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M2: Initial communication by 01/03/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M3: Analysis completed by 31/07/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M4: Documentation completed by 31/12/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M5: Detailed external communication by 31/12/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Internal Adaptation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M6: Adaptation started by 01/01/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M7: Adaptation completed by 30/06/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M8: Internal testing started by 01/07/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M9: Internal testing complete by 02/12/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Testing and Implementation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M10: External testing started by 05/12/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M11: Final external communication by 01/04/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M12: External testing completed by 13/10/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M13: Standard implemented by 20/11/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> </tbody> </table> | | | | Analysis and Communication | Yes | No | n/a | M1: Analysis started by 30/06/2020 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M2: Initial communication by 01/03/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M3: Analysis completed by 31/07/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M4: Documentation completed by 31/12/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M5: Detailed external communication by 31/12/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | Internal Adaptation | Yes | No | n/a | M6: Adaptation started by 01/01/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M7: Adaptation completed by 30/06/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M8: Internal testing started by 01/07/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M9: Internal testing complete by 02/12/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | Testing and Implementation | Yes | No | n/a | M10: External testing started by 05/12/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M11: Final external communication by 01/04/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M12: External testing completed by 13/10/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M13: Standard implemented by 20/11/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| 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"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| 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 Processes & Workflows | | | | | | |
| | CA Event ID | CA Event Name | | | | |
| 1. | ACTV | Trading Status: Active | Adaptation Required | Not Implemented | | |
| 2. | BIDS | Repurchase Offer / Issuer Bid / Reverse Rights | Adaptation Required | Implemented (ISO 15022) | | |
| 3. | BMET | Bond Holder Meeting | Adaptation Required | Implemented (ISO 15022) | | |
| 4. | BPUT | Put Redemption | Adaptation Required | Implemented (ISO 15022) | | |
| 5. | BRUP | Bankruptcy | Adaptation Required | Not implemented | | |
| 6. | CAPI | Capitalisation | Adaptation Required | Not implemented | | |
| 7. | CERT | Non-US TEFRA D Certification | Adaptation Required | Implemented (ISO 15022) | | |
| 8. | CHAN | Change | Adaptation Required | Implemented (ISO 15022) | | |
| 9. | CLSA | Class Action / Proposed Settlement | Adaptation Required | Not implemented | | |
| 10. | CMET | Court Meeting | Adaptation Required | Not implemented | | |
| 11. | CONS | Consent | Adaptation Required | Implemented (ISO 15022) | | |
| 12. | CREV | Credit Event | Adaptation Required | Not implemented | | |
| 13. | DFLT | Bond Default | Adaptation Required | Not implemented | | |
| 14. | DLST | Trading Status: Delisted | Adaptation Required | Not implemented | | |
| 15. | DRAW | Drawing | Adaptation Required | Not implemented | | |
| 16. | DSCL | Disclosure | Adaptation Required | Implemented (ISO 15022, ISO 20022 in 2020) | | |
| 17. | DTCH | Dutch Auction | Adaptation Required | Implemented (ISO 15022) | | |
| 18. | EXOF | Exchange | Adaptation Required | Implemented (ISO 15022) | | |
| 19. | EXTM | Maturity Extension | Adaptation Required | Not implemented | | |
| 20. | INCR | Increase in Value | Adaptation Required | Not implemented | | |
| 21. | INFO | Information | Adaptation Required | Implemented (ISO 15022) | | |
| 22. | INTR | Interest Payment | Adaptation Required | Implemented (ISO 15022) | | |
| 23. | LIQU | Liquidation Payment | Adaptation Required | Implemented (ISO 15022) | | |
| 24. | MCAL | Full Call / Early Redemption | Adaptation Required | Implemented (ISO 15022) | | |
| 25. | OTHR | Other Event | Adaptation Required | Implemented (ISO 15022) | | |

| 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: | | | | | | |
| 26. | PARI | Pari-Passu | Adaptation Required | Implemented (ISO 15022) | | | | | | | | |
| 27. | PCAL | Partial Redemption Without Pool Factor Reduction | Adaptation Required | Implemented (ISO 15022) | | | | | | | | |
| 28. | PINK | Payment in Kind | Adaptation Required | Not implemented, planned 2020 | | | | | | | | |
| 29. | PLAC | Place of Incorporation | Adaptation Required | Not implemented | | | | | | | | |
| 30. | PPMT | Instalment Call | Adaptation Required | Not implemented | | | | | | | | |
| 31. | PRED | Partial Redemption With Pool Factor Reduction | Adaptation Required | Implemented (ISO 15022) | | | | | | | | |
| 32. | REDM | Final Maturity | Adaptation Required | Implemented (ISO 15022) | | | | | | | | |
| 33. | REDO | Redenomination | Adaptation Required | Not implemented | | | | | | | | |
| 34. | REMK | Remarketing Agreement | Adaptation Required | Not implemented | | | | | | | | |
| 35. | RHDI | Intermediate Securities Distribution | Adaptation Required | Implemented (ISO 15022) | | | | | | | | |
| 36. | SUSP | Trading Status: Suspended | Adaptation Required | Not implemented | | | | | | | | |
| 37. | TEND | Tender / Acquisition / Takeover / Purchase Offer | Adaptation Required | Implemented (ISO 15022) | | | | | | | | |
| 38. | TREC | Tax Reclaim | Adaptation Required | Not implemented | | | | | | | | |
| 39. | WTRC | Withholding Tax Relief Certification | Adaptation Required | Not implemented | | | | | | | | |
| 40. | WRTH | Worthless | Adaptation Required | Implemented (ISO 15022) | | | | | | | | |
| 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 | | | |
| | | | | | | | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | |
| | | | | | | | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | |
| | | | | | | | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | |
| | | | | | | | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | |
| | | | | | | | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | |
| | | | | | | Internal Adaptation | | | | Yes | No | n/a |
| | | | | | | | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | |
| | | | | | | | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | |
| | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | | | | | | |
| | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | | | | | | |

| 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: | | | |
| | | | | | | 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"/> |
| <p><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></p> | | | | | | | | | |
| | CA Event ID | CA Event Name | | | | | | | |
| 1. | ACTV | Trading Status: Active | Adaptation Required | Not Implemented | | | | | |
| 2. | BIDS | Repurchase Offer / Issuer Bid / Reverse Rights | Adaptation Required | Implemented (ISO 15022) | | | | | |
| 3. | BMET | Bond Holder Meeting | Adaptation Required | Implemented (ISO 15022) | | | | | |
| 4. | BPUT | Put Redemption | Adaptation Required | Implemented (ISO 15022) | | | | | |
| 5. | BRUP | Bankruptcy | Adaptation Required | Not implemented | | | | | |
| 6. | CAPI | Capitalisation | Adaptation Required | Not implemented | | | | | |
| 7. | CERT | Non-US TEFRA D Certification | Adaptation Required | Implemented (ISO 15022) | | | | | |
| 8. | CHAN | Change | Adaptation Required | Implemented (ISO 15022) | | | | | |
| 9. | CLSA | Class Action / Proposed Settlement | Adaptation Required | Not implemented | | | | | |
| 10. | CMET | Court Meeting | Adaptation Required | Not implemented | | | | | |
| 11. | CONS | Consent | Adaptation Required | Implemented (ISO 15022) | | | | | |
| 12. | CREV | Credit Event | Adaptation Required | Not implemented | | | | | |
| 13. | DFLT | Bond Default | Adaptation Required | Not implemented | | | | | |
| 14. | DLST | Trading Status: Delisted | Adaptation Required | Not implemented | | | | | |
| 15. | DRAW | Drawing | Adaptation Required | Not implemented | | | | | |
| 16. | DSCL | Disclosure | Adaptation Required | Implemented (ISO 15022, ISO 20022 in 2020) | | | | | |
| 17. | DTCH | Dutch Auction | Adaptation Required | Implemented (ISO 15022) | | | | | |
| 18. | EXOF | Exchange | Adaptation Required | Implemented (ISO 15022) | | | | | |

| 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: |
| 19. | EXTM | Maturity Extension | Adaptation Required | Not implemented | | |
| 20. | INCR | Increase in Value | Adaptation Required | Not implemented | | |
| 21. | INFO | Information | Adaptation Required | Implemented (ISO 15022) | | |
| 22. | INTR | Interest Payment | Adaptation Required | Implemented (ISO 15022) | | |
| 23. | LIQU | Liquidation Payment | Adaptation Required | Implemented (ISO 15022) | | |
| 24. | MCAL | Full Call / Early Redemption | Adaptation Required | Implemented (ISO 15022) | | |
| 25. | OTHR | Other Event | Adaptation Required | Implemented (ISO 15022) | | |
| 26. | PARI | Pari-Passu | Adaptation Required | Implemented (ISO 15022) | | |
| 27. | PCAL | Partial Redemption Without Pool Factor Reduction | Adaptation Required | Implemented (ISO 15022) | | |
| 28. | PINK | Payment in Kind | Adaptation Required | Not implemented, planned 2020 | | |
| 29. | PLAC | Place of Incorporation | Adaptation Required | Not implemented | | |
| 30. | PPMT | Instalment Call | Adaptation Required | Not implemented | | |
| 31. | PRED | Partial Redemption With Pool Factor Reduction | Adaptation Required | Implemented (ISO 15022) | | |
| 32. | REDM | Final Maturity | Adaptation Required | Implemented (ISO 15022) | | |
| 33. | REDO | Redenomination | Adaptation Required | Not implemented | | |
| 34. | REMK | Remarketing Agreement | Adaptation Required | Not implemented | | |
| 35. | RHDI | Intermediate Securities Distribution | Adaptation Required | Implemented (ISO 15022) | | |
| 36. | SUSP | Trading Status: Suspended | Adaptation Required | Not implemented | | |
| 37. | TEND | Tender / Acquisition / Takeover / Purchase Offer | Adaptation Required | Implemented (ISO 15022) | | |
| 38. | TREC | Tax Reclaim | Adaptation Required | Not implemented | | |
| 39. | WTRC | Withholding Tax Relief Certification | Adaptation Required | Not implemented | | |
| 40. | WRTH | Worthless | Adaptation Required | Implemented (ISO 15022) | | |

| 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: | | | | | | | |
| 4 | Rounding rules | <i>Harmonised rounding rules shall be applied for the calculation of cash payments and securities movements.</i> | | | | Analysis and Communication | | | | | | | |
| | | | | | | Yes | No | n/a | | | | | |
| | | | | | | M1: Analysis started by 30/06/2020 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| | | | | | | M2: Initial communication by 01/03/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| | | | | | | Internal Adaptation | | | | Yes | No | n/a | |
| | | | | | | M6: Adaptation started by 01/01/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| | | | | | | Testing and Implementation | | | | Yes | No | n/a | |
| | | | | | | M10: External testing started by 05/12/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | |
| M11: Final external communication by 01/04/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | | | | | | | |
| M12: External testing completed by 13/10/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | | | | | | | |
| M13: Standard implemented by 20/11/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | | | | | | | |
| Additional Information | Rounding rule no. 1 | For cash payments, the cash amount to be paid is to be rounded down to the number of decimals permissible in the payment currency (i.e. to 2 decimals in case of EUR payments).Accordingly, and as an example, a cash amount of EUR 2.556 should be rounded down to EUR 2.55 | Adaptation Required | Currently commercial rounding can be changed easily to rounding down. | | | | | | | | | |
| | Rounding rule no. 2 | For securities movements, the securities amount should be rounded down to the nearest full unit. | Adaptation Required | Currently commercial rounding can be changed easily to rounding down. But if the smallest denomination is < 1 it must be possible to match the decimals of the smallest denomination | | | | | | | | | |
| | 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 | Implemented, but sometimes ratio is foreseen in the conditions of the respective bond | Behaviour does not match the terms and conditions of some bonds. There are securities which have not a minimal nominal value of 1,000 (it can be below or | | | | | | | | |

| 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: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | above) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | 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> | Adaptation/ Clarification Required | Currently OeKB CSD does not support the processing of cashflows from the Investor to the issuer resulting from securities with a negative interest rate. OeKB CSD will consult with issuers and participants in order to decide in due time whether or not to support such process in the future or to exclude securities with a negative interest rate. | | <table border="1"> <thead> <tr> <th>Analysis and Communication</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> </thead> <tbody> <tr> <td>M1: Analysis started by 30/06/2020</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M2: Initial communication by 01/03/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M3: Analysis completed by 31/07/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M4: Documentation completed by 31/12/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M5: Detailed external communication by 31/12/2021</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Internal Adaptation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M6: Adaptation started by 01/01/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M7: Adaptation completed by 30/06/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M8: Internal testing started by 01/07/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M9: Internal testing complete by 02/12/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <th>Testing and Implementation</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> <tr> <td>M10: External testing started by 05/12/2022</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M11: Final external communication by 01/04/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M12: External testing completed by 13/10/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> <tr> <td>M13: Standard implemented by 20/11/2023</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> </tbody> </table> | Analysis and Communication | Yes | No | n/a | M1: Analysis started by 30/06/2020 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M2: Initial communication by 01/03/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M3: Analysis completed by 31/07/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M4: Documentation completed by 31/12/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M5: Detailed external communication by 31/12/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | Internal Adaptation | Yes | No | n/a | M6: Adaptation started by 01/01/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M7: Adaptation completed by 30/06/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M8: Internal testing started by 01/07/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M9: Internal testing complete by 02/12/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | Testing and Implementation | Yes | No | n/a | M10: External testing started by 05/12/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M11: Final external communication by 01/04/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M12: External testing completed by 13/10/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | M13: Standard implemented by 20/11/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | |
| 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>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</i> | Adaptation Required | to be analysed further | Behaviour does not match the terms and | <table border="1"> <thead> <tr> <th>Analysis and Communication</th> <th>Yes</th> <th>No</th> <th>n/a</th> </tr> </thead> <tbody> <tr> <td>M1: Analysis started by 30/06/2020</td> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/> DD-MM-YYYY</td> <td><input type="checkbox"/></td> </tr> </tbody> </table> | Analysis and Communication | Yes | No | n/a | M1: Analysis started by 30/06/2020 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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"/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| 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>which the payment is due), the payment shall be made on the next business day.</i> | | | conditions of some bonds | 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>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> | | | | | | | |
| 7 | Securities amount data | Securities amount data shall be defined using nominal value for debt instruments (FAMT) and units for non-debt instruments (UNIT). | Adaptation/ Clarification Required | There are several debt-instruments (bonds) issued in units in the Austrian Market. It is unclear how this standard can be introduced for such already existing bonds (as defined under standard 7 in the July/2019 version of the "Corporate Actions Harmonisation Standards" rulebook). Hybrid Certificates are also issued in units. They are considered to be debt-instruments (bonds) from a legal point of view. This affects more than 1000 securities issued per | | 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"/> |

| 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: | | | |
| | | | | year on the Austrian Market. and hence a branch of business where it is unsure if issuers can finally fulfil this standard. Needs to be discussed with issuers. | | 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 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 | 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. | Adaptation Required | Payments are performed as soon as the issuer/agent has provided the funds. The new timeline has to be discussed with issuers. Currently Income collection and distribution starts at 10:30 for all securities, including government bonds. Issuers/agents can provide the funds on pay date till 14:30 at the latest. Different treatment of government bonds (payment no later than open for business of the payment systems) might be seen as difficult to accept. | | 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"/> |
| | 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 | see above | | | | | |
| | 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 | Adaptation Required | see above | | | | | |

| 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: | | | | | | |
| | | 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. | | | | | | | | | | |
| 9 | Notification of processing status | 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. | Adaptation Required | Not implemented | | Analysis and Communication | | | | | | |
| | | | | | | 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"/> | | | | | | | | |
| | | 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. | | | | | | | | | | |
| 10 | Blocking of securities | 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. | Implemented | | | Analysis and Communication | | | | | | |
| | | | | | | M1: Analysis started by 30/06/2020 | <input type="checkbox"/> | <input type="checkbox"/> | DD-MM-YYYY | <input type="checkbox"/> | | |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> | DD-MM-YYYY | <input type="checkbox"/> | | |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> | DD-MM-YYYY | <input type="checkbox"/> | | |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> | DD-MM-YYYY | <input type="checkbox"/> | | |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> | DD-MM-YYYY | <input type="checkbox"/> | | |
| | | | | | | Internal Adaptation | | | | Yes | No | n/a |
| | | | | | | M6: Adaptation started by 01/01/2022 | <input type="checkbox"/> | <input type="checkbox"/> | DD-MM-YYYY | <input type="checkbox"/> | | |
| M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> | DD-MM-YYYY | <input type="checkbox"/> | | | | | | | | |

| 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: | | | | |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | |
| | | | | | | Testing and Implementation | Yes | No | n/a | |
| | | | | | | M10: External testing started by 05/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | |
| | | | | | | M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | |
| | | <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. 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> <p>CA Event Participation Type (Mandatory / Voluntary)</p> | | | | | | | | |
| | | BIDS VOLU | Implemented | | | | | | | |
| | | BPUT VOLU | Implemented | | | | | | | |
| | | CERT CHOS | Implemented | | | | | | | |
| | | CONS VOLU | Implemented | | | | | | | |
| | | DSCL VOLU | Implemented | | | | | | | |
| | | DTCH VOLU | Implemented | | | | | | | |
| | | EXOF VOLU | Implemented | | | | | | | |
| | | CHOS | Implemented | | | | | | | |
| | | EXTM CHOS | Adaptation Required | | | | | | | |
| | | INTR CHOS | Implemented | | | | | | | |
| | | LIQU CHOS | Implemented | | | | | | | |
| | | MCAL CHOS | Implemented | | | | | | | |
| | | OTHR CHOS | Implemented | | | | | | | |
| | | VOLU | 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: | | | |
| | 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 type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | Internal Adaptation | Yes | No | n/a |
| | | | | | | M6: Adaptation started by 01/01/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | Testing and Implementation | Yes | No | n/a |
| | | | | | | M10: External testing started by 05/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | | | |
| M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> | | | | | | |
| <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 | Not implemented | | Analysis and Communication | Yes | No | n/a |
| | | | | | | M1: Analysis started by 30/06/2020 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | Internal Adaptation | Yes | No | n/a |
| | | | | | | M6: Adaptation started by 01/01/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | Testing and Implementation | Yes | No | n/a |
| | | | | | | M10: External testing started by 05/12/2022 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M11: Final external communication by 01/04/2023 | <input checked="" type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |

| 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: | | | |
| | | | | | | 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 | 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. | Adaptation Required | Currently there is no preadvice sent before the cancellation. The information why the reversal is needed with all the payment details is included in the MT564 for the new payment and in the MT566. Adaption would be needed in order to send a MT564 even before the cancellation takes place. In reality this would mean that preadvice message, cancellation and confirmation of the new payment are sent nearly at the same time. So, it would have to be clarified if our current behaviour already satisfies this standard even if it is a slightly different one. | | 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 | 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 confirmation from the cash correspondent that the cash has been transferred successfully. | 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 type="checkbox"/> |
| | | | | | | M2: Initial communication by 01/03/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M3: Analysis completed by 31/07/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M4: Documentation completed by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M5: Detailed external communication by 31/12/2021 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | Internal Adaptation | Yes | No | n/a |
| | | | | | | M6: Adaptation started by 01/01/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M7: Adaptation completed by 30/06/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M8: Internal testing started by 01/07/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |

| 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: | | | |
| | | | | | | M9: Internal testing complete by 02/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | Testing and Implementation | Yes | No | n/a |
| | | | | | | M10: External testing started by 05/12/2022 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M11: Final external communication by 01/04/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M12: External testing completed by 13/10/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | M13: Standard implemented by 20/11/2023 | <input type="checkbox"/> | <input type="checkbox"/> DD-MM-YYYY | <input type="checkbox"/> |
| | | | | | | <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 | Account Servicers shall have the capability to support ISO 20022 messages for the processing of corporate actions. | | | | 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"/> | | | |
| | Message Name | Message Identifier | | | | | | | |
| | Corporate Action Notification | seev.031 | Adaptation Required | Currently only 15022 | | | | | |
| | Corporate Action Event Processing Status Advice | seev.032 | Adaptation Required | Currently only 15022 | | | | | |
| | Corporate Action Instruction | seev.033 | Adaptation Required | Currently only 15022 | | | | | |
| | Corporate Action Instruction Status Advice | seev.034 | Adaptation Required | Currently only 15022 | | | | | |
| | Corporate Action Movement Preliminary Advice | seev.035 | Adaptation Required | Currently only 15022 | | | | | |

| 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 Movement Confirmation | seev.036 | Adaptation Required | Currently only 15022 | | |
| | Corporate Action Movement Reversal Advice | seev.037 | Adaptation Required | Currently only 15022 | | |
| | Corporate Action Cancellation Advice | seev.039 | Adaptation Required | Currently only 15022 | | |
| | Corporate Action Instruction Cancellation Request | seev.040 | Adaptation Required | Currently only 15022 | | |
| | Corporate Action Instruction Cancellation Request Status Advice | seev.041 | Adaptation Required | Currently only 15022 | | |
| | Corporate Action Instruction Statement Report | seev.042 | Adaptation Required | Currently only 15022 | | |
| | Corporate Action Movement Preliminary Advice Cancellation Advice | seev.044 | Adaptation Required | Currently only 15022 | | |
| | Meeting Notification | seev.001 | Implemented | | | |
| | Meeting Cancellation | seev.002 | Implemented | | | |
| | Meeting Entitlement Notification | seev.003 | Implemented | | | |
| | Meeting Instruction | seev.004 | Adaptation Required | Currently only 15022 | | |
| | Meeting Instruction Cancellation Request | seev.005 | Adaptation Required | Currently only 15022 | | |
| | Meeting Instruction Status | seev.006 | Adaptation Required | Currently only 15022 | | |
| | Meeting Vote Execution Confirmation | seev.007 | Adaptation Required | Currently only 15022 | | |
| | Meeting Result Dissemination | seev.008 | Implemented | | | |