



B #:	5922-17
Date:	May 23, 2017
To:	All Participants
Category:	Operations, Reorganization
From:	Asset Services -- Corporate Actions Transformation Product Management Team
Attention:	Operations Managers/Technology Managers/Cashiers/Officers
Subject:	Preparing for Parallel Production Testing of ISO 20022 Corporate Action Reorganization Lifecycle Messages

DTC is targeting July 24, 2017 to begin parallel production testing of ISO 20022 Reorganization Lifecycle messages. The onboarding and subscription set-up process required for testing generally takes a few weeks to complete. Clients wishing to take full advantage of the test period by starting on July 24th should complete and return to DTC the attached Onboarding Questionnaire no later than June 22, 2017. Note that DTC will accept questionnaires after June 22nd, however, bear in mind that the set-up timeline could delay the start of your testing. Be sure to contact the transformation team if you have any questions or need assistance completing the questionnaire. Completed questionnaires should be sent to catransformation@dtcc.com.

Testing of the ISO messages is critical as they will replace CCF lifecycle processing files such as CSHSET, which are slated for retirement on December 31, 2018. Please see Important Notice [B#5647-17](#) for the complete list of CCF files that will be retired on December 31, 2018.

Live production data will be used for testing. It is intended to be sent to your UAT environment until you are ready to “go live” in your production environment.

Included in the parallel test are the five ISO 20022 message types associated with the reorganization lifecycle:

ISO 20022 Message Names	Short Name	Equivalent DTCC Processes
CA Notification with Eligible Balance	CANO-E	Position Capture
CA Movement Preliminary Advice	CAPA	Projected Payments
CA Movement Confirmation	CACO	Allocations / Payments
CA Event Processing Status Advice	CAPS	Unallocated Positions
Corporate Actions Instruction Statement Report	CAST	NEW

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Documentation available to support clients' data mapping and programming efforts includes corporate actions scenarios, data dictionaries, ISO 20022 messaging specifications and user guides, all of which will be available prior to July 24, 2017 at dtcc.com/catransformation and on the learning center at <https://dtcclearning.com/>.

We look forward to working with you during the parallel testing period.

Questions about this notice can be directed to your Relationship Manager or to the CA Transformation mailbox at CATransformation@dtcc.com.

Corporate Actions ISO 20022 Onboarding Questionnaire

ISO Messaging Access:

1. Please provide your official firm name.

2. Please provide your DTC participant number.

3. Please provide your SWIFT BIC code (If you don't have a BIC code, please request one from SWIFT via the following link – [Register an 8 character non-connected BIC](#))**

4. Would you like to connect via SMART or SWIFT?
 - If electing SMART, would you like to connect via:
 - MQ
 - FTP
 - NDM

5. If electing FTP or NDM, do you have a current connection to DTCC?
 - Please provide FTP ID or NDM Node:
 - Test:
 - Production:
 - Please also provide a dataset name(s.)
 - Test:
 - Production:

6. What subscription types/events would you like to receive? Please check options below.
Announcements:
 - Distributions Factors Maturity Cash Municipal New
 - Municipal Update Redemptions Meeting
 - MMI Commercial Paper Reorganization

Distributions Entitlements and Allocations:

(Event group options: MMI, P&I, Stock, Canadian Dollar – when applicable)

- CA Notification with Eligible Balance (Record Date Entitlements, CANO-E) – please indicate with or without interim accounting
- CA Movement Primary Advice (Projected Payments, CAPA)
- CA Movement Primary Advice Cancellation Advice (CAPC)
- CA Movement Confirmation & Reversal Advice (Allocation/Payment, CACO/CARE)
- CA Event Processing Status Advice (Unallocated Positions, CAPS)

Redemptions Entitlements and Allocations:

(Event group options: Lottery, Non-Lottery and Maturities)

- CA Notification with Eligible Balance (Record Date Entitlements, CANO-E)
- CA Movement Primary Advice (Projected Payments, CAPA)
- CA Movement Primary Advice Cancellation Advice (CAPC)
- CA Movement Confirmation (Allocation/Payment, CACO)
- CA Event Processing Status Advice (Unallocated Positions, CAPS)

Reorganization Entitlements and Allocations:

(There are not any event group options for Reorganizations.)

- CA Notification with Eligible Balance (Record Date Entitlements, CANO-E)
- CA Movement Primary Advice (Projected Payments, CAPA)
- CA Movement Confirmation (Allocation/Payment, CACO)
- CA Event Processing Status Advice (Unallocated Positions, CAPS)
- CA Instruction Statement Report (CAST)

Elective Dividend (EDS) Instructions:

(Must connect via MQ to send inbound instructions)

- CA Instruction (Instructions/Elections, CAIN)
- CA Instruction Cancellation Request (Instruction Withdrawal, CAIC)
- CA Instruction Status Advice (Instruction Reply, CAIS)
- CA Instruction Cancellation Request Status Advice (Withdrawal Reply, CACS)
- CA Instruction Statement Report (CAST)

File Time Options for SMART FTP/NDM - Announcements Only

Time	SLICES (must be two digits in CDTS)	Subscription selection (Enter 'Yes')
1:30	Slice 01	
3:30	Slice 02	

6:00	Slice 03	
9:00	Slice 04	
11:00	Slice 05	
12:00	Slice 06	
13:00	Slice 07	
14:00	Slice 08	
15:00	Slice 09	
16:00	Slice 10	
17:00	Slice 11	
18:00	Slice 12	
19:00	Slice 13	
20:00	Slice 14 (END OF DAY)	
21:00	Slice 15	
23:30	Slice 16	
9:00*	Slice 51*	

**Slice 51 is a Saturday 9am ET file delivery option.*

****SWIFT LINK –**

http://www.swift.com/ordering/order_products_and_services/67511/order_a_BIC1.page