

B #:	13798-20
Date:	August 12, 2020
To:	All Participants
Category:	Operations
From:	Asset Services – Corporate Actions Transformation Product Management Team
Attention:	Operations Managers/Technology Managers/Cashiers/Officers
Subject:	DTC Will Convert its ISO20022 Corporate Action Messaging to the SWIFT SR2020 Version on November 22, 2020

DTC will be converting its ISO20022 Corporate Action Messaging to the SWIFT SR2020 version on November 22, 2020. This is being done as part of the annual standard maintenance process.

Client Test Schedule

- Client testing will begin on September 14, 2020 and conclude on November 6, 2020
- Client feedback and findings must be reported to DTC by October 30, 2020
- All clients live with Distributions Instructions using ISO 20022 messaging must perform automated testing with DTC

Test Region / Connectivity

- DTC client testing will take place in DTCC's "U/PSE" test environment
- SWIFT clients will be testing in the UAT CUG

Participants wishing to set up a "U/PSE" connection must notify DTCC as soon as possible to ensure sufficient lead time to complete the following:

SMART MQ Customers

- Confirm that a channel exists from DTCC to Participant from "U/PSE" test environment
- DTCC must build subscriptions for each Participant based on new target queue destinations
- Participant must define and communicate to DTCC the target queue from the "U/PSE" test environment
 - Requires a call between DTCC Support group and network teams from the Participant firm

SWIFT Customers

- DTCC must build and update subscriptions to ensure that messages are routed to the SWIFT UAT CUG. This is a different service name from the Production CUG

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit http://www.dtcc.com/subscription_form.php.

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Enabling Subscriptions

Unless DTC is advised otherwise, subscriptions for testing will automatically be enabled on September 14, 2020 for:

- SMART MQ and file clients with existing connectivity established for previous year SR testing
- SMART MQ and file clients with a new connection established by August 21, 2020

All SWIFT clients must notify DTC by September 7, 2020 if they wish to have their subscriptions enabled.

Deployment Plan -- ISO 20022 SR 2020 Release

- All message types are impacted (see below)

CANO Corporate Action Notification	seev.031.002.10
CANO-E Corporate Action Notification Eligible Balance	seev.031.002.10
CACN Corporate Action Cancellation Advice	seev.039.002.10
CAPS Corporate Action Event Processing Status Advice	seev.032.002.07
CAPA Corporate Action Movement Preliminary Advice	seev.035.002.11
CACO Corporate Action Movement Confirmation Advice	seev.036.002.11
CARE Corporate Action Movement Reversal Advice	seev.037.002.11
CACS Corporate Action Instruction Cancellation Request Status Advice	seev.041.002.10
CAIC Corporate Action Instruction Cancellation Request	seev.040.002.09
CAST Corporate Action Instruction Statement Report	seev.042.002.09
CAPC Corporate Action Movement Preliminary Advice Cancellation Advice	seev.044.002.10
CAIS Corporate Action Instruction Status Advice	seev.034.002.11
CAIN Corporate Action Instruction	seev.033.002.10
MTNO Meeting Notifications	seev.001.001.07
MTCN Meeting Cancellation	seev.002.001.06
CANO SD Corporate Action Notification Extension	supl.001.001.12
CANO-E SD Corporate Action Announcement Eligible Balance Extension	supl.007.001.09
CAPA SD Corporate Action Movement Preliminary Advice Extension	supl.009.001.08
CACO SD Corporate Action Movement Confirmation Extension	supl.011.001.08
CACN SD Corporate Action Cancellation Advise Extension	supl.006.001.09
CAIS SD Corporate Action Instruction Status Advice Extension	supl.030.001.04
CAPC SD Corporate Action Movement Preliminary Advice Cancellation Extension	supl.034.001.02
CARE SD Corporate Actin Reversal Advice Extension	supl.025.001.02

- The conversion will take place at 8:00 a.m. EST on November 22, 2020 (Sunday)
- All ISO20022 messages published after 8:00 a.m. EST on November 22, 2020 (Sunday) will be in the SR2020 format
- For clients receiving ISO20022 messages from DTC via FTP and NDM files*:
 - The first file received on November 22, 2020 (Sunday) will contain ISO20022 Announcement messages from November 20, 2020 (Friday) through November 22, 2020

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(Sunday) in the SR2019 format, assuming the client does not subscribe to the Saturday 9:00am file slice.

- Any NDM and FTP Files received thereafter will be in the SR2020 format
- An additional Saturday 9:00a.m. ET time slice is available to clients who wish to receive the files in SR 2019 format on Saturday, November 21, 2020. This will contain all ISO20022 Announcement messages since last slice on November 20, 2020 (Friday). Please submit your request for this slice by Friday, November 6, 2020
 - If clients subscribe to the Saturday, 9:00a.m. ET file slice, all files sent on Sunday will be in SR 2020 format

*Subject to each client's unique circumstances based on their subscription

- For clients automating ISO 20022 messaging after November 22, 2020, please utilize the SR2020 Message Usage Guides published on dtcc.com at <http://www.dtcc.com/settlement-and-asset-services/corporate-actions-processing/iso-20022-messaging-specifications>, the DTCC Learning Center at <https://dtcclearning.com/learning/assetservices/> and SWIFT MyStandards at https://www2.swift.com/swift/login/login_mystandards.html

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

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