

<b>B #:</b>	18817-23
<b>Date:</b>	July 31, 2023
<b>To:</b>	All Participants
<b>Category:</b>	Operations
<b>From:</b>	Asset Services – Corporate Actions Transformation Product Management Team
<b>Attention:</b>	Operations Managers/Technology Managers/Cashiers/Officers
<b>Subject:</b>	DTC Will Convert its ISO20022 Corporate Action Messaging to the SWIFT SR2023 Version on November 19, 2023

DTC will be converting its ISO20022 Corporate Action Messaging to the SWIFT SR2023 version on November 19, 2023. This is being done as part of the annual standard maintenance process.

#### **Client Test Schedule**

- Client testing will begin on September 11, 2023 and conclude on November 3, 2023
- Client feedback and findings must be reported to DTC by October 27, 2023
- All clients live with Instructions (Distributions and Voluntary Reorg) 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 at [DTCIntegration@dtcc.com](mailto:DTCIntegration@dtcc.com) 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

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](http://www.dtcc.com/subscription_form.php).

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- 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

**Enabling Subscriptions**

**Unless DTC is advised otherwise, subscriptions for testing will automatically be enabled on September 11, 2023 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 18, 2023

**All SWIFT clients must notify DTCC at [DTCCIntegration@dtcc.com](mailto:DTCCIntegration@dtcc.com) by September 1, 2023 if they wish to have their subscriptions enabled.**

**Note:** For any clients wishing to receive ISO 20022 messages when T+1 testing begins on August 14, 2023, please notify DTCC at [DTCCIntegration@dtcc.com](mailto:DTCCIntegration@dtcc.com) immediately to have your subscriptions setup or enabled.

**Deployment Plan -- ISO 20022 SR 2023 Release**

- Message types below are impacted

CANO Corporate Action Notification	seev.031.002.13
CANO-E Corporate Action Notification Eligible Balance	seev.031.002.13
CACN Corporate Action Cancellation Advice	seev.039.002.12
CAPA Corporate Action Movement Preliminary Advice	seev.035.002.14
CACS Corporate Action Instruction Cancellation Request Status Advice	seev.041.002.13
CAIC Corporate Action Instruction Cancellation Request	seev.040.002.12
CAPC Corporate Action Movement Preliminary Advice Cancellation Advice	seev.044.002.12
MTNO Meeting Notifications	seev.001.001.10
MTCN Meeting Cancellation	seev.002.001.09
CANO SD Corporate Action Notification Extension	supl.001.001.15
CAIS SD Corporate Action Instruction Status Advice Extension	supl.030.001.07
CAST SD Corporate Action Instruction Statement Report Extension	supl.031.001.06
CACS SD Corporate Action Instruction Cancellation Request Status Advice Ext	supl.033.001.03

- Message types below will remain in SR2022

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CAPS Corporate Action Event Processing Status Advice	seev.032.002.08
CACO Corporate Action Movement Confirmation Advice	seev.036.002.13
CARE Corporate Action Movement Reversal Advice	seev.037.002.13
CAST Corporate Action Instruction Statement Report	seev.042.002.11
CAIS Corporate Action Instruction Status Advice	seev.034.002.13
CAIN Corporate Action Instruction	seev.033.002.12
CANO-E SD Corporate Action Announcement Eligible Balance Extension	supl.007.001.11
CAPA SD Corporate Action Movement Preliminary Advice Extension	supl.009.001.10
CACO SD Corporate Action Movement Confirmation Extension	supl.011.001.10
CACN SD Corporate Action Cancellation Advise Extension	supl.006.001.11
CAPC SD Corporate Action Movement Preliminary Advice Cancellation Extension	supl.034.001.04
CARE SD Corporate Actin Reversal Advice Extension	supl.025.001.04
CAIN SD Corporate Action Instruction Extension	supl.008.001.07
CAPS SD Corporate Action Event Processing Status Advice Extension	supl.010.001.09
CAIC SD Corporate Action Instruction Cancellation Request Extension	supl.032.001.02

- The conversion will take place at 8:00 a.m. EST on November 19, 2023 (Sunday)
- All ISO20022 messages published after 8:00 a.m. EST on November 19, 2023 (Sunday) will be in the SR2023 format
- For clients receiving ISO20022 messages from DTC via FTP and NDM files\*:
  - The first file received on November 19, 2023 (Sunday) will contain ISO20022 Announcement messages from November 17, 2023 (Friday) through November 19, 2023 (Sunday) in the SR2022 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 SR2023 format
  - An additional Saturday 9:00a.m. ET time slice is available to clients who wish to receive the files in SR 2022 format on Saturday, November 18, 2023. This will contain all ISO20022 Announcement messages since last slice on November 17, 2023 (Friday). Please submit your request for this slice by Friday, November 3, 2023
    - If clients subscribe to the Saturday, 9:00a.m. ET file slice, all files sent on Sunday will be in SR 2023 format

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

- For clients automating ISO 20022 messaging after November 19, 2023, please utilize the SR2023 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](https://www2.swift.com/swift/login/login_mystandards.html)

DTC Integration will continue to be engaged with the SR2023 project team in verifying connectivity, establishing connectivity, creating subscriptions and enabling subscriptions. For

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any questions specific to those tasks, please contact DTC Integration at [DTCTegration@dtcc.com](mailto:DTCTegration@dtcc.com). Any other questions about this notice can be directed to your Relationship Manager or the CA Modernization mailbox at [CAModernization@dtcc.com](mailto:CAModernization@dtcc.com).

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