



Your Gateway to Securities Standards !

SMPG Investment Funds WG Achievements and Challenges

September 30, 2020



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Funds Working Group Achievements

SMPG Investment Funds Achievements 2020

Fund asset transfer Single Leg (SLT)	Updated for SR2020
Account Management	Updated for SR2020
Fund asset transfer Matched Leg (MLT)	Updated for SR2020 (Q4)
Fund discovery and portfolio transfer	Base flow and initial scope determined

SMPG Investment Funds Projects 2020 -2021

Corporate actions	Work in Progress
Time Stamp	NEW
Redemption Gating	NEW
Regulation	<i>Ongoing - primarily gathering of information.</i>
Fund discovery and portfolio transfer	<i>Further worked to be planned</i>



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Settlement & Reconciliation Achievements 2020

September 30, 2020

S&R Working Group Achievements

SMPG S&R achievements 2020

Focus on CSDR settlement discipline

- ✓ MP for CSDR penalties published in June 2020
- ✓ MP for CSDR buy-ins published in June 2020
- ✓ Buy-in reporting messages
 - Update of existing MT message fast track CR for SR2021
 - New ISO20022 message submitted for ISO20022 SEG approval
- ✓ Synergy with T2S solutions

SMPG S&R projects 2020 -2021

- ☐ Existing MPs review and renewal on-going work
 - Including: hold/release; partial settlement, use of UTI, settlement transaction type and status codes , portfolio transfer
- ☐ MyStandards MP UGs migration NEW
- ☐ Regulatory monitoring on-going work

Looking beyond

- ☐ Embracing new SWIFT strategy with Transaction Management Platform
- ☐ ISO 20022 migration support
- ☐ APIs, smart contracts – end of messaging domination



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SMPG Corporate Action WG Achievements and Challenges

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Corporate Actions WG

Achievements 2019/2020:

- SRDII - Brand New **General Meeting (GM)** and **Shareholder Identification Disclosure (SID)** & **CA** Market Practices (+ implementation on SWIFT MyStandard)
- SRDII – SMPG participation to SRDII TFs on **GM** and **SID Market Standards** + **Golden Operational Records** Templates TF (under SRDII Industry Steering Group)
- CMH TF – CA Harmonisation Standards - Provide extensive support to ECB AMI SeCo CMH CA TF on **15 CA Standards & Processes** / Ensure Alignment and Consistency with SMPG MPs.
- Tax SubGroup – New **Tax Breakdown** MP publication
- BAU – New **TDNP event MP**, SR2020 Market Practices Updates (MP Documentation Publication & Implementation on MyStandards), 7 SR2021 SMPG Change Requests submitted, 14 MP Open Items closed in 2020, ...

Challenges ahead:

- New **MPs** for **Market Claim messages** (going through ISO 20022 Evaluation Process...)
- SRDII - Review and adapt **GM / SID MPs** to Real and Live Business Cases & Drive CRs in Messages
- **ECMS & CMH-TF CA Messages** - Future ISO 20022 CA Standards Changes are very Likely