

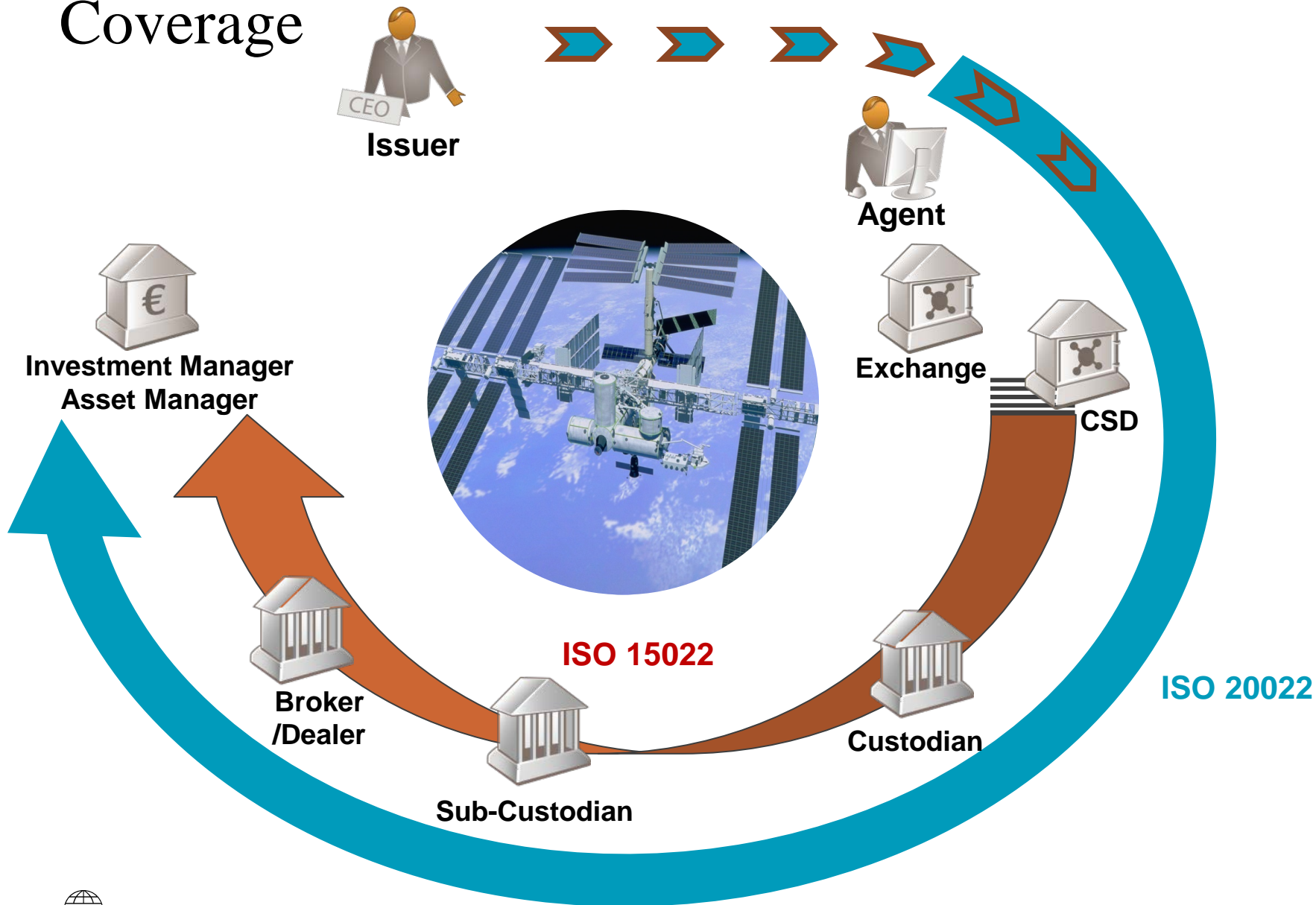


# SWIFT Asset Servicing Messaging

*ISO15022 and ISO 20022 Corporate  
Actions*

*January 16<sup>th</sup> 2018 - Fifth meeting of the AMI-SeCo HSG's Collateral Management  
Harmonisation Task Force (CMH-TF)*

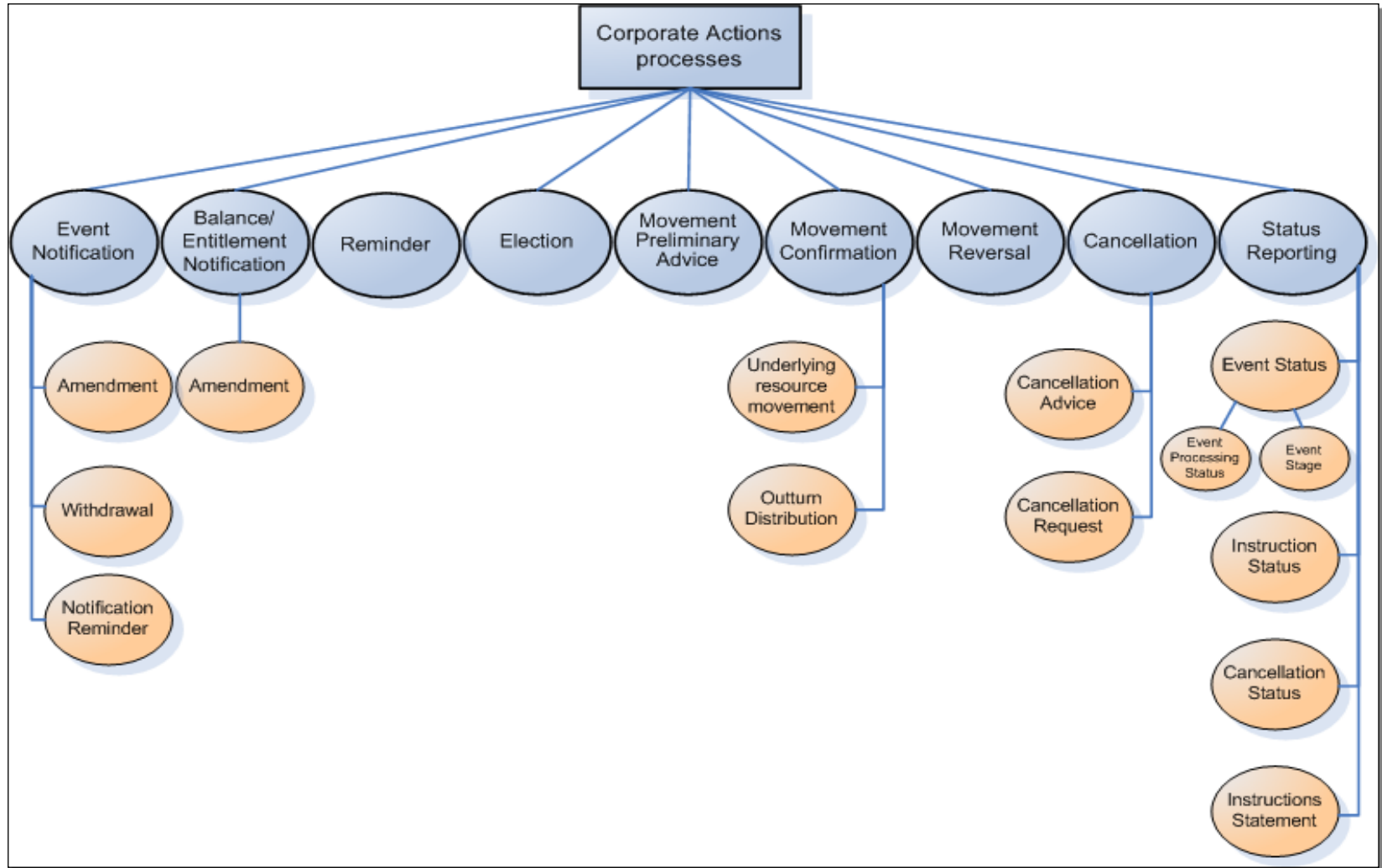
# Corporate Actions – ISO15022 / ISO20022 Coverage



# Corporate Actions Messages Coverage of Business Processes



# Generic Business Processes

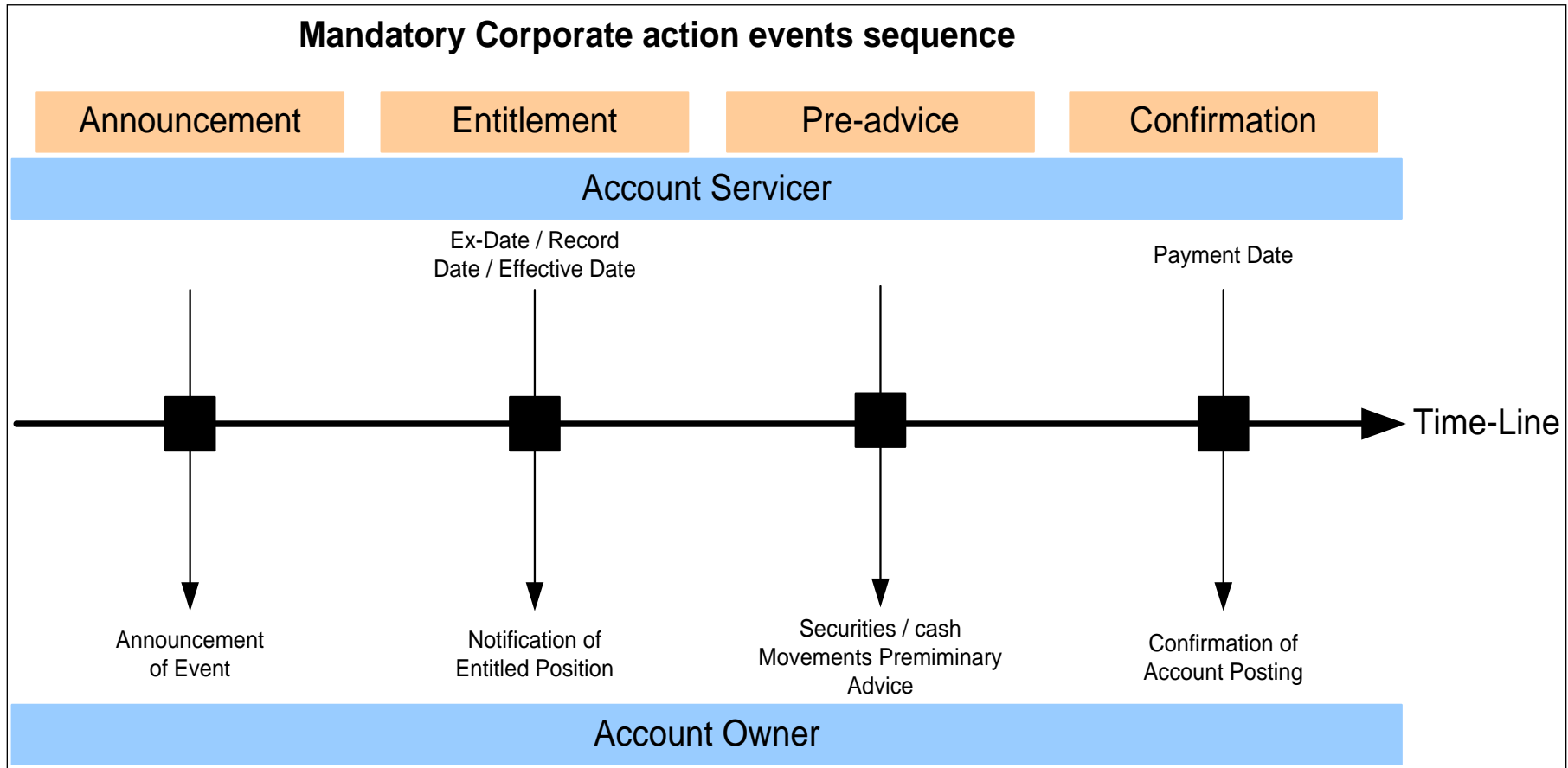


# Corporate Actions Messages

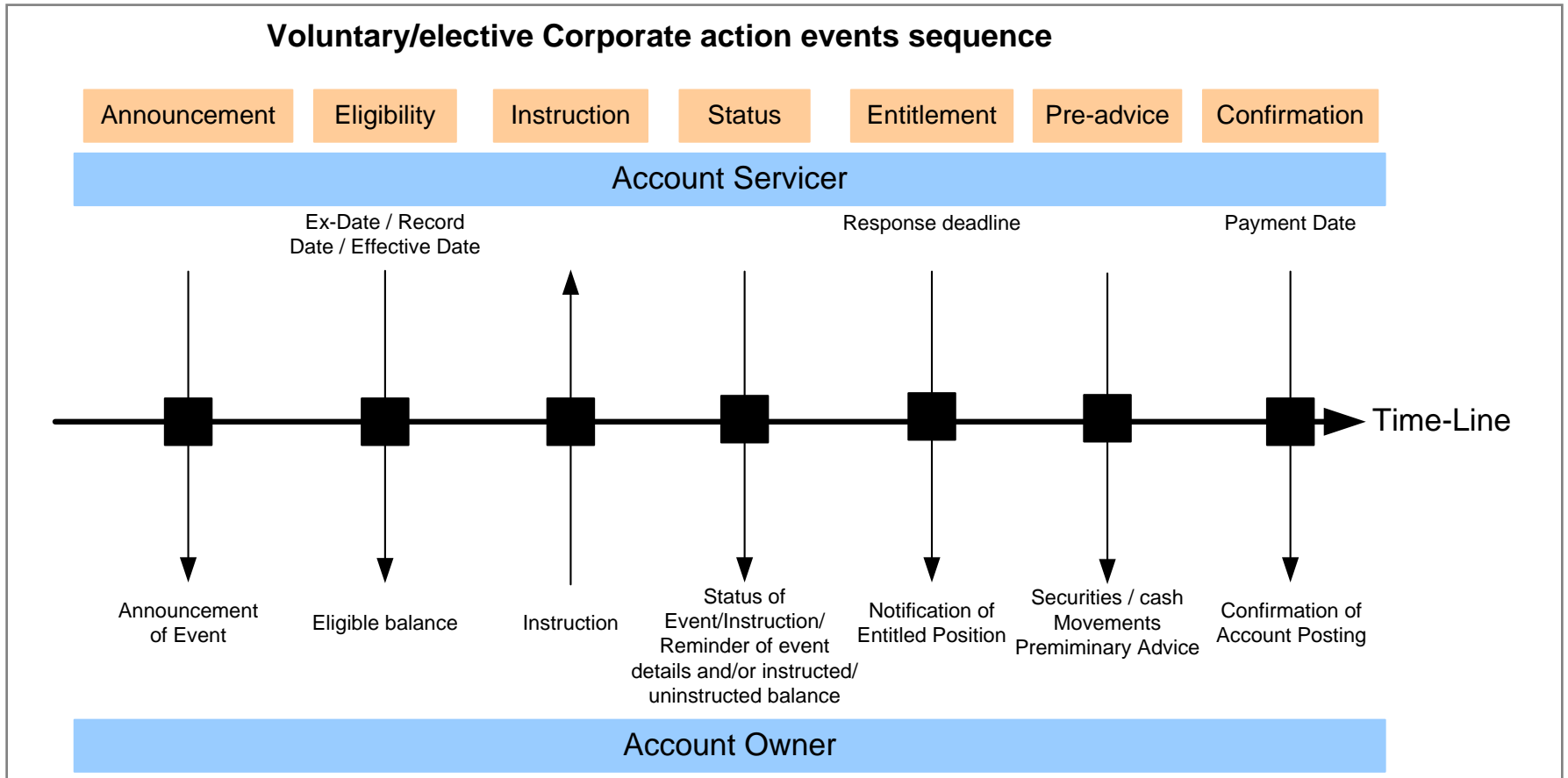
## High Level Flows



# Generic Corporate Actions Flows (1/2)



# Generic Corporate Actions Flows (2/2)

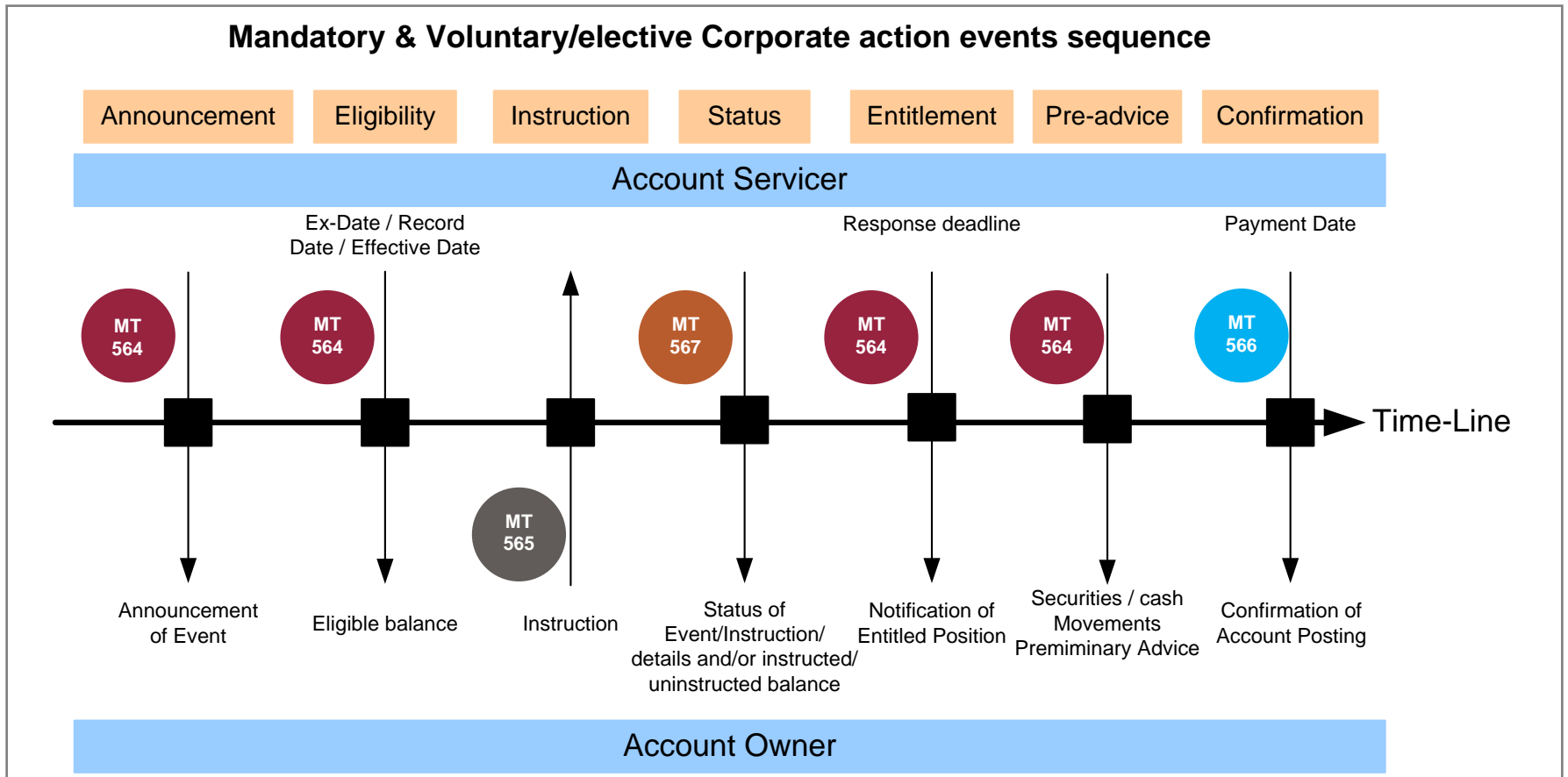


# ISO 15022 Corporate Actions Messages



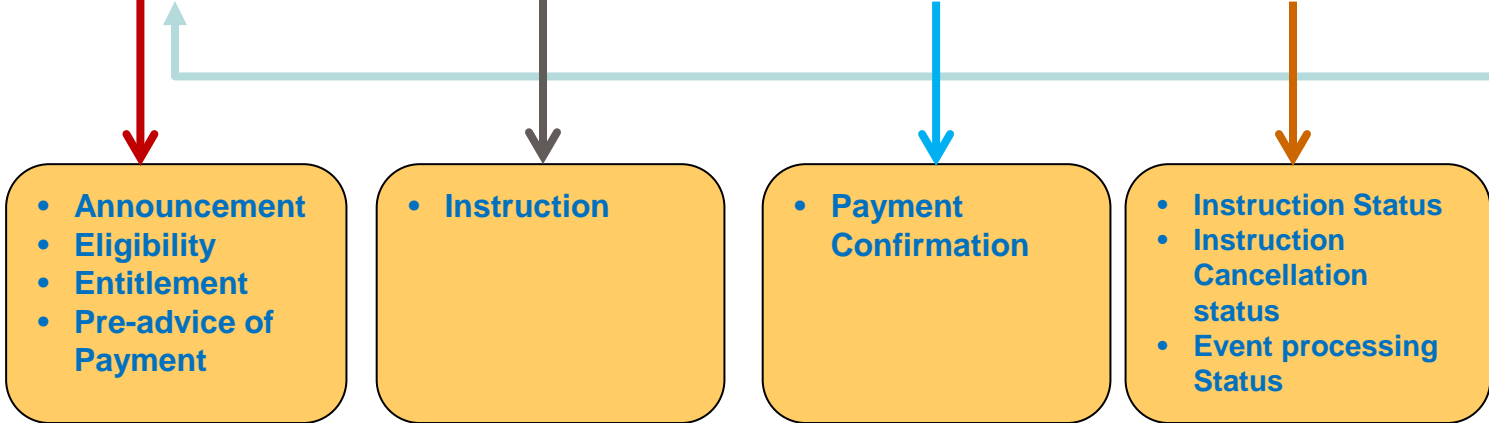


# Generic Corporate Actions Business Process Flows



# Corporate Action – ISO 15022 Messages

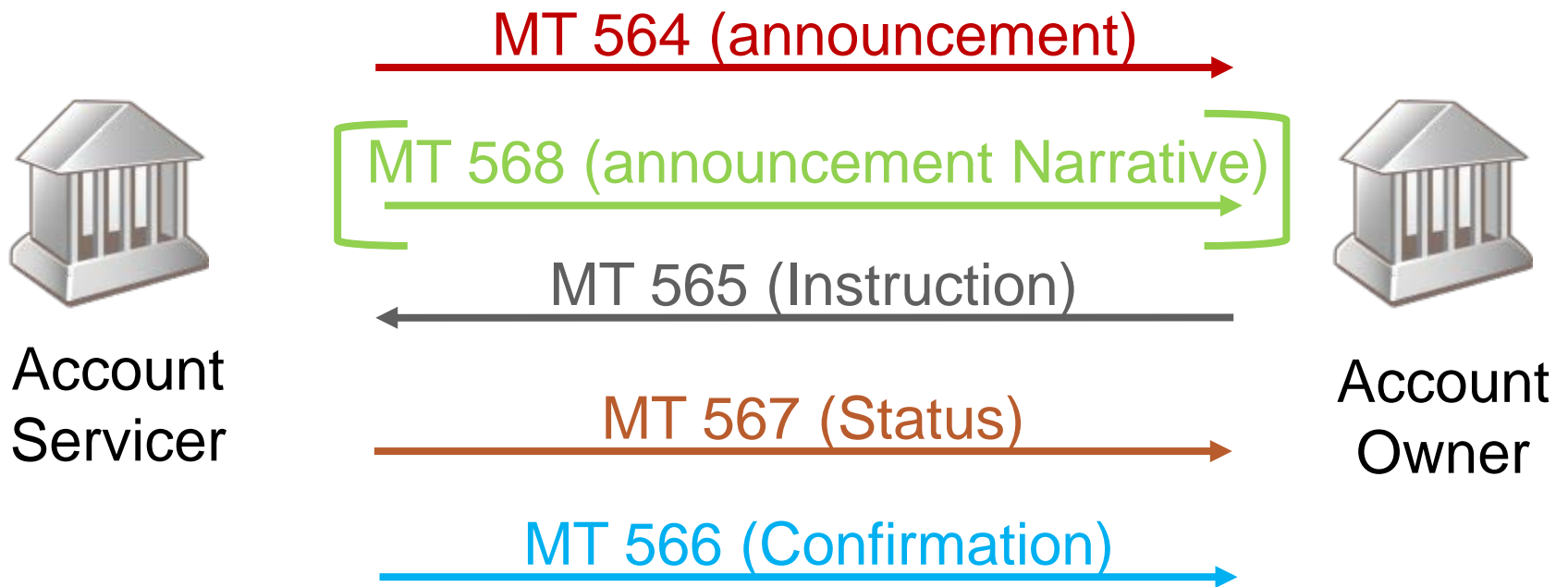
**CA JWG Compliant**



**Hinders STP**



# MT 56x –Sequence of Messages - Plain Vanilla scenario



MT 564

# Corporate Action Notification (2)

## - Function of the Message -

23G Qualifier	Full Name	Definition
NEWM	New	New message.
REPL	Replacement	Message replacing a previously sent message.
REPE	Eligible Balance Notification	Message reporting an eligible balance that may or may not include an entitlement calculation or a revised entitlement calculation.
CANC	Cancellation Advice	Message to cancel a corporate action event previously announced by the account servicer or a previously sent Preliminary Advice of Payment message (:22F::ADDB//CAPA in sequence D).
WITH	Withdrawal	Message sent to void a previously sent notification due to the withdrawal of the event or offer by the issuer.
RMDR	Reminder	Message sent as a reminder of an event taking place.
ADDB	Additional Business Process	Message sent to notify an additional business process to a corporate action. Applicable for <a href="#">Market Claims, Tax Refund and Notification of Reversal</a>



# ISO 20022 Corporate Actions Messages



# ISO 20022 Corporate Actions Messages

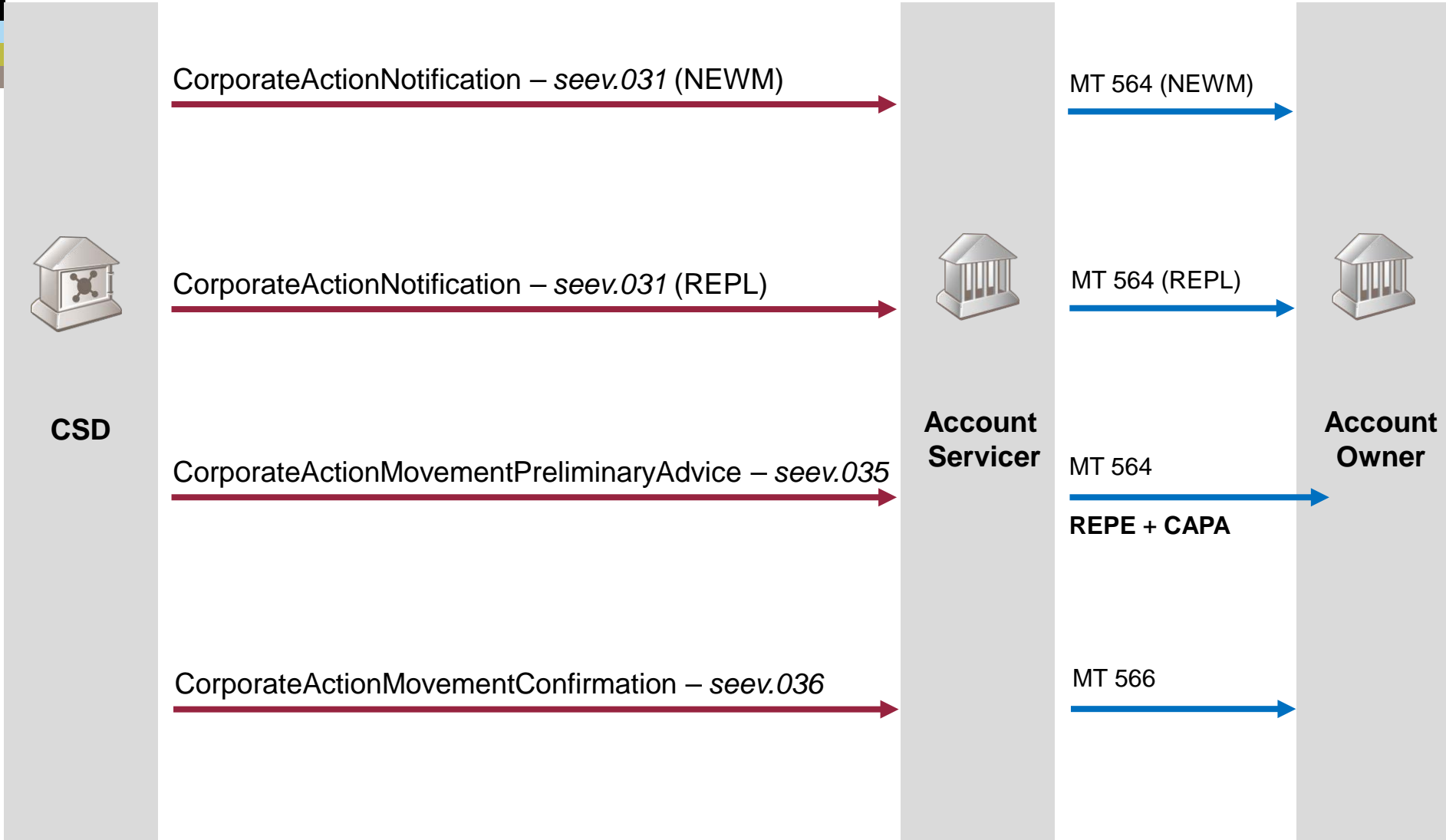
	MX Identifier	Proposed ISO 20022 Messages Names	Abbreviated Name	Equivalent ISO 15022 Messages
1	seev.031.002.01	<b>Corporate Action Notification</b>	CANO	MT564 (+MT568)
2	seev.033.002.01	<b>Corporate Action Instruction</b>	CAIN	MT565
3	seev.036.002.01	<b>Corporate Action Movement Confirmation</b>	CACO	MT566
4	seev.037.002.01	<b>Corporate Action Movement Reversal Advice</b>	CARE	MT566
5	seev.039.002.01	<b>Corporate Action Cancellation Advice</b>	CACN	MT564
6	seev.040.002.01	<b>Corporate Action Instruction Cancellation Request</b>	CAIC	MT565
7	seev.032.002.01	<b>Corporate Action Event Processing Status Advice</b>	CAPS	MT567
8	seev.034.002.01	<b>Corporate Action Instruction Status Advice</b>	CAIS	MT567
9	seev.041.002.01	<b>Corporate Action Instruction Cancellation Request Status Advice</b>	CACS	MT567
10	seev.035.002.01	<b>Corporate Action Movement Preliminary Advice</b>	CAPA	MT564
11	seev.038.002.01	<b>Corporate Action Narrative</b>	CANA	Stand-Alone MT 568 (Restricted Funct.)
12	seev.042.002.01	<b>Corporate Action Instruction Statement Report</b>	CAST	X
13	seev.044.002.01	<b>Corporate Action Movement Preliminary Advice Cancellation Advice</b>	CAPC	MT564

# ISO 2022 Corporate Actions Messages

## Detailed Flows

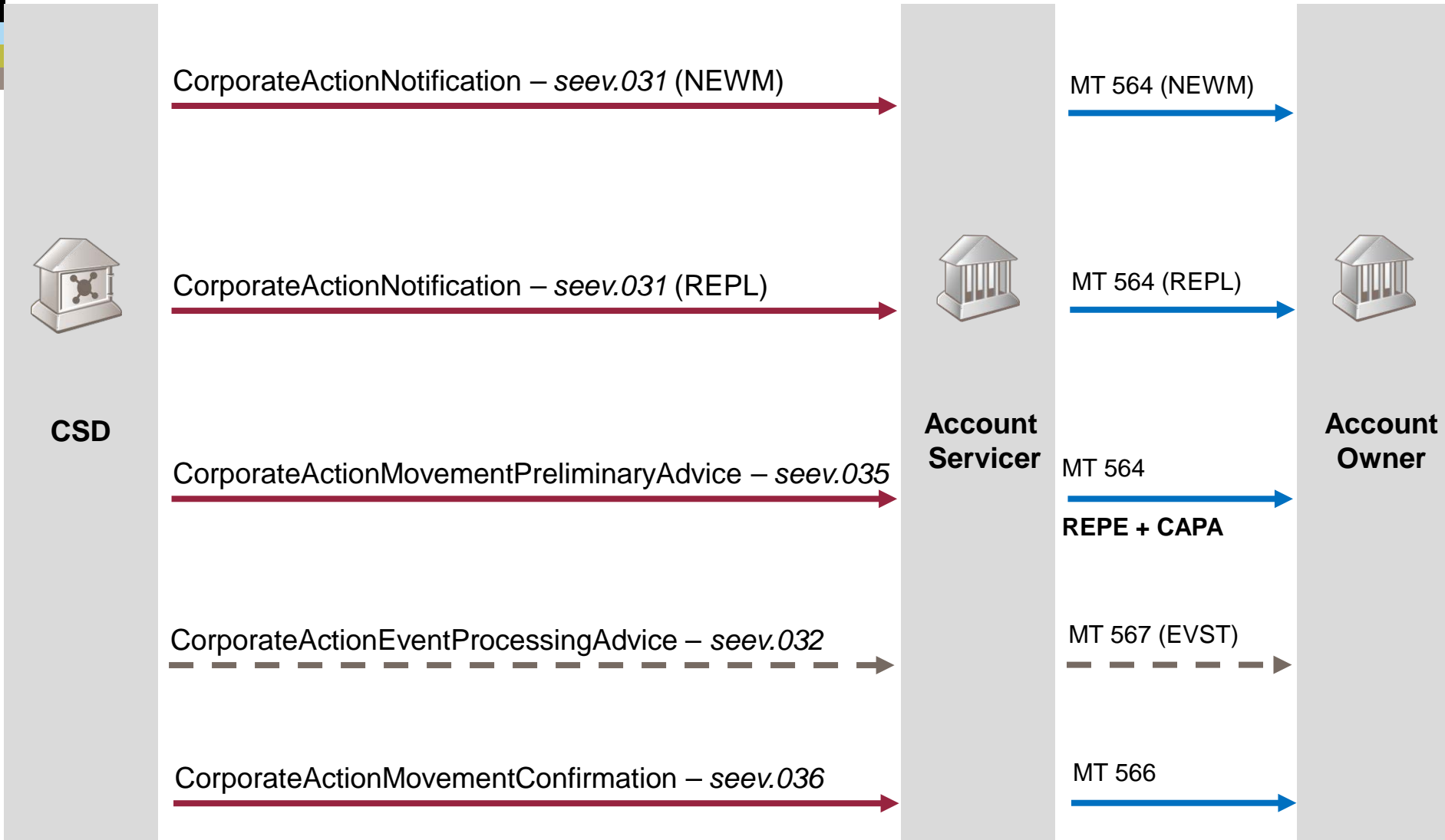


# Mandatory events in ISO 20022 vs. ISO 15022 - Example 1 with Movement Pre-Advice

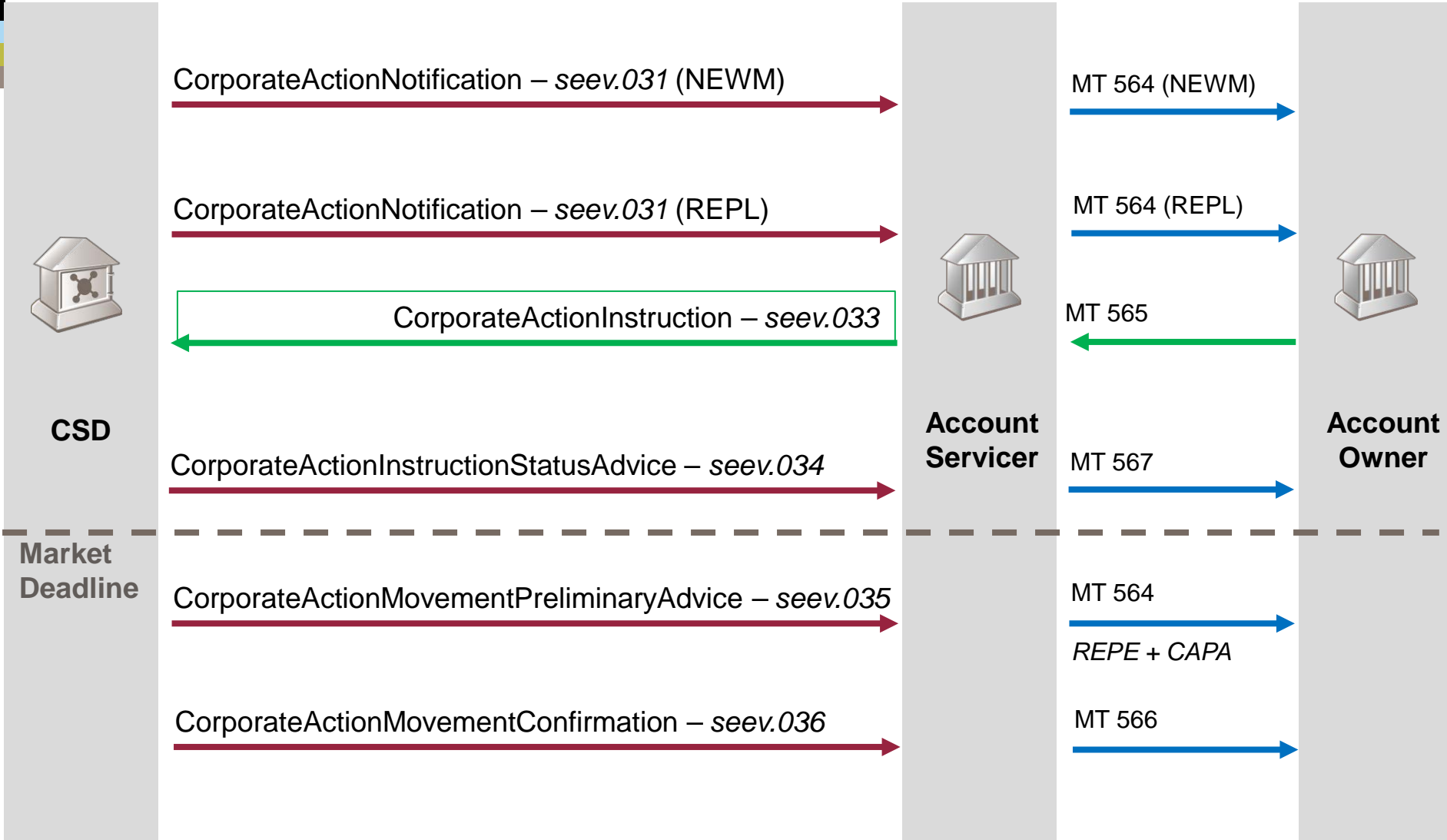




# Mandatory events in ISO 20022 vs. ISO 15022 - Example 2 with delayed Payment



# Voluntary Events or Mandatory w/options ISO 20022 vs. ISO 15022



# Corporate Actions Flows

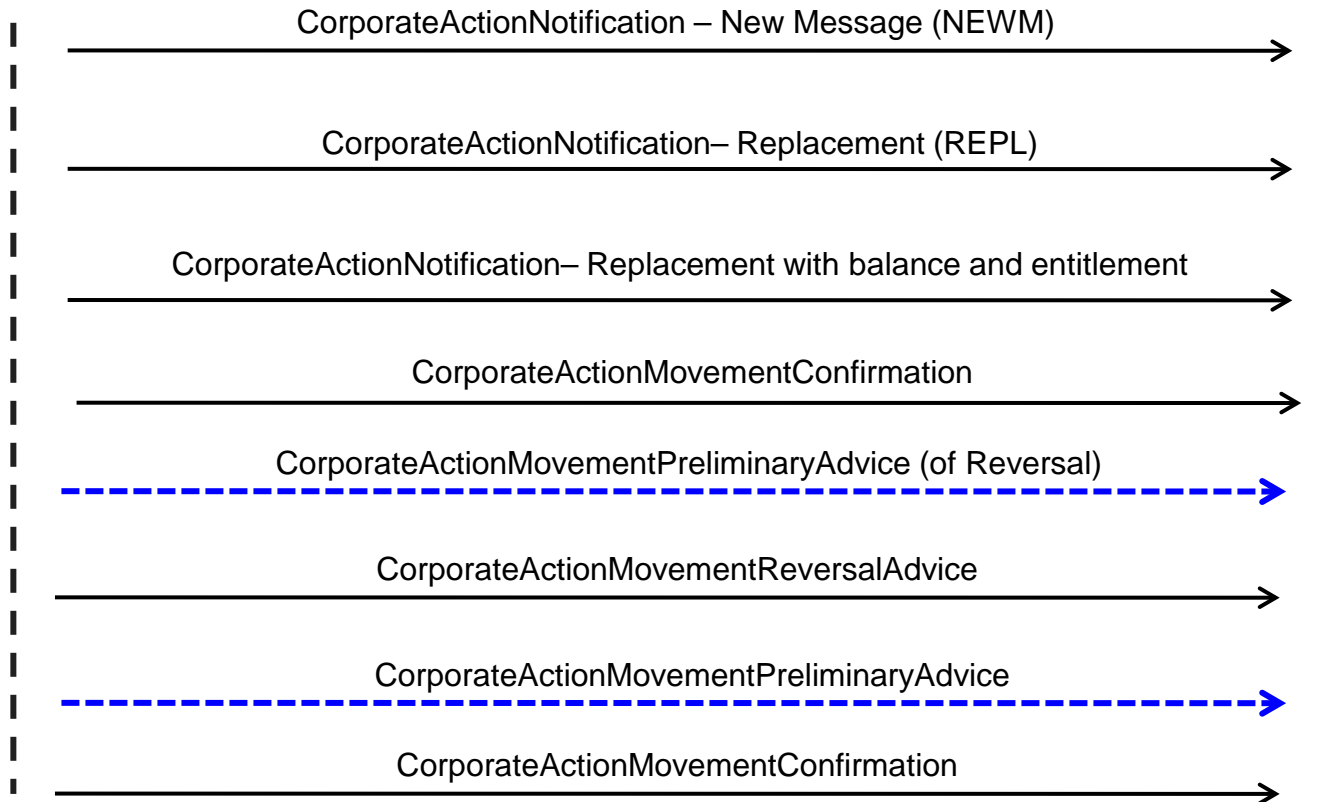
## *Generic flows - Non elective events with Pre-Advice and Reversal*



Account Servicer



Account Owner



# Corporate Actions Flows

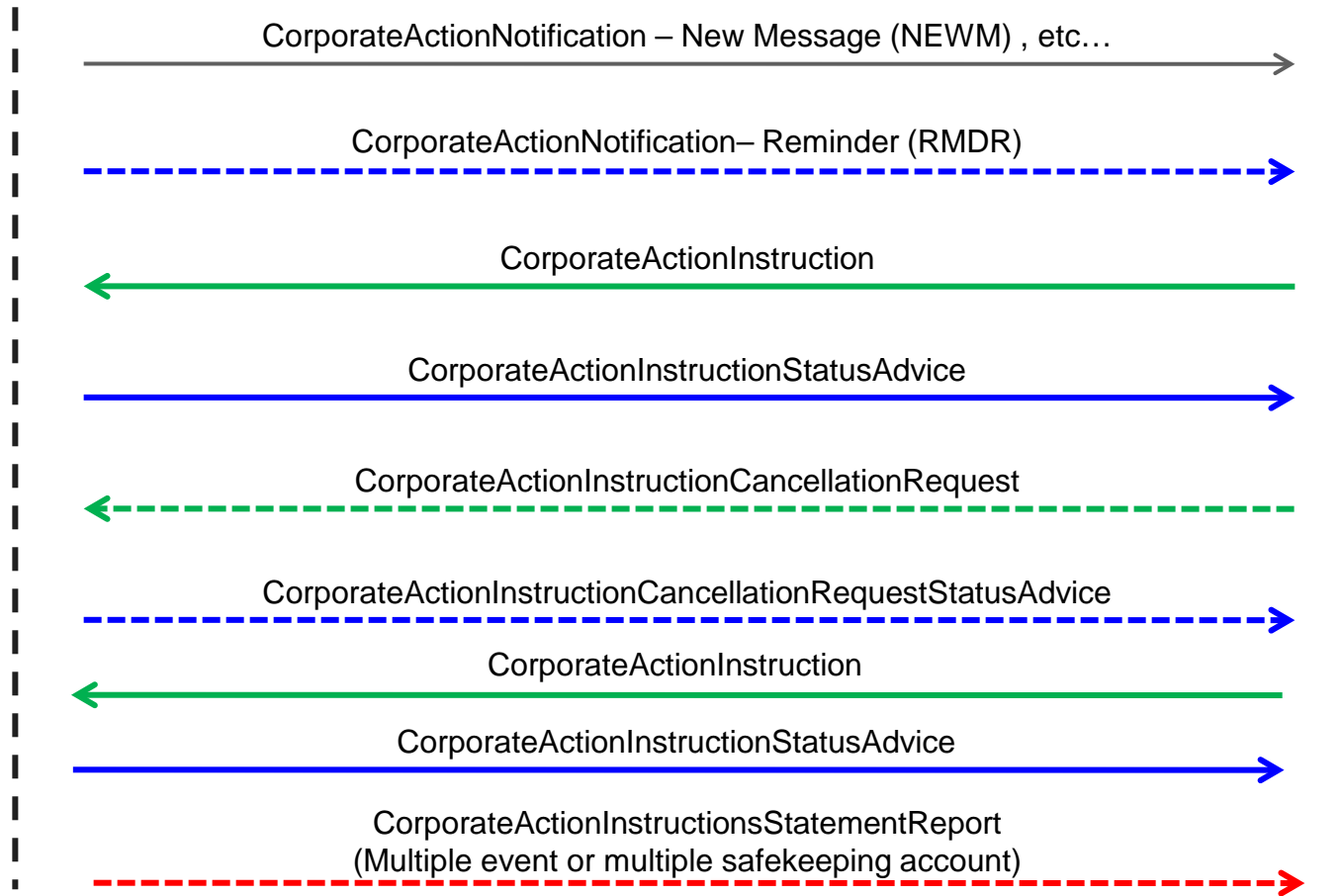
## *Election flows + Status and Instruction Statement*



Account Servicer

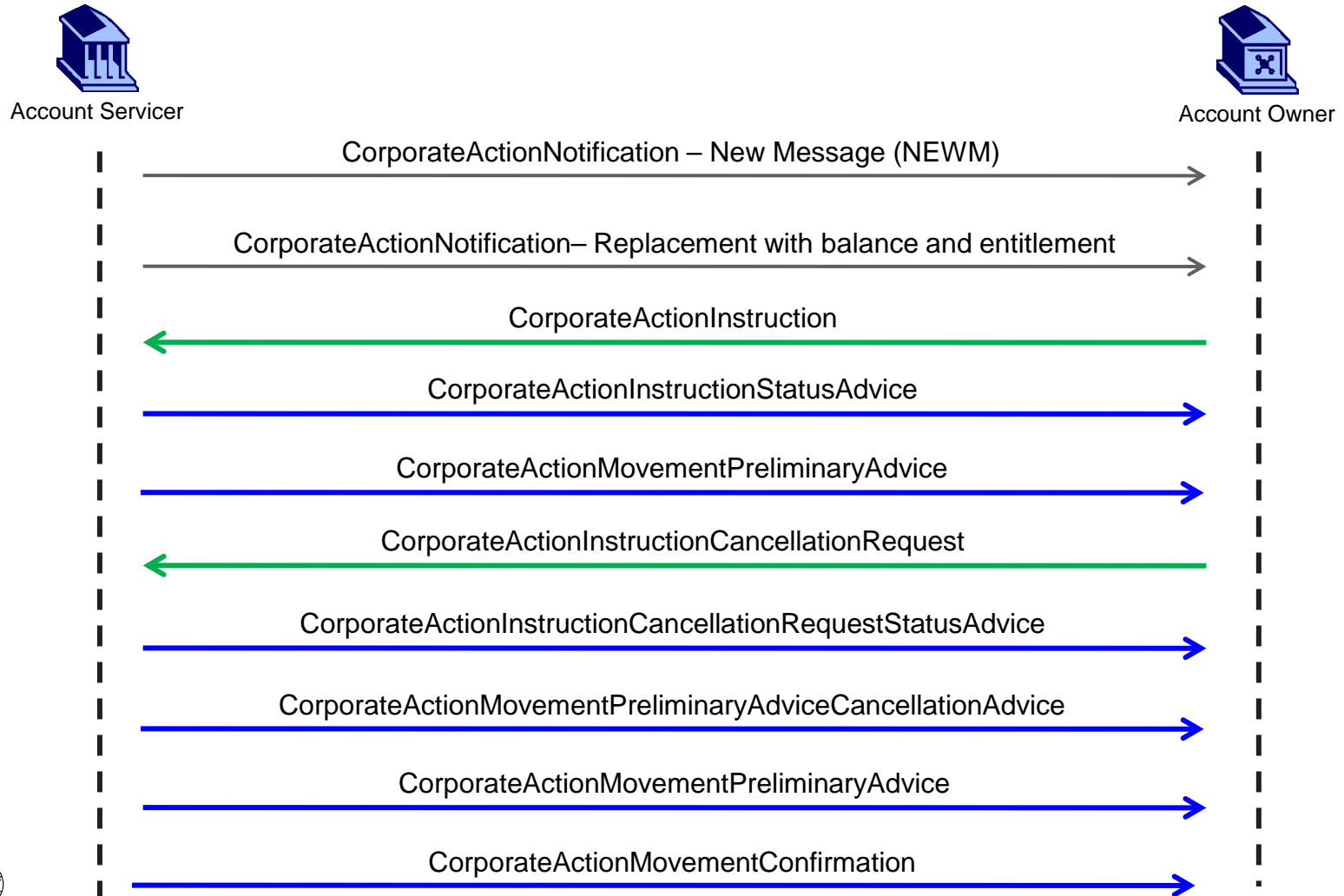


Account Owner



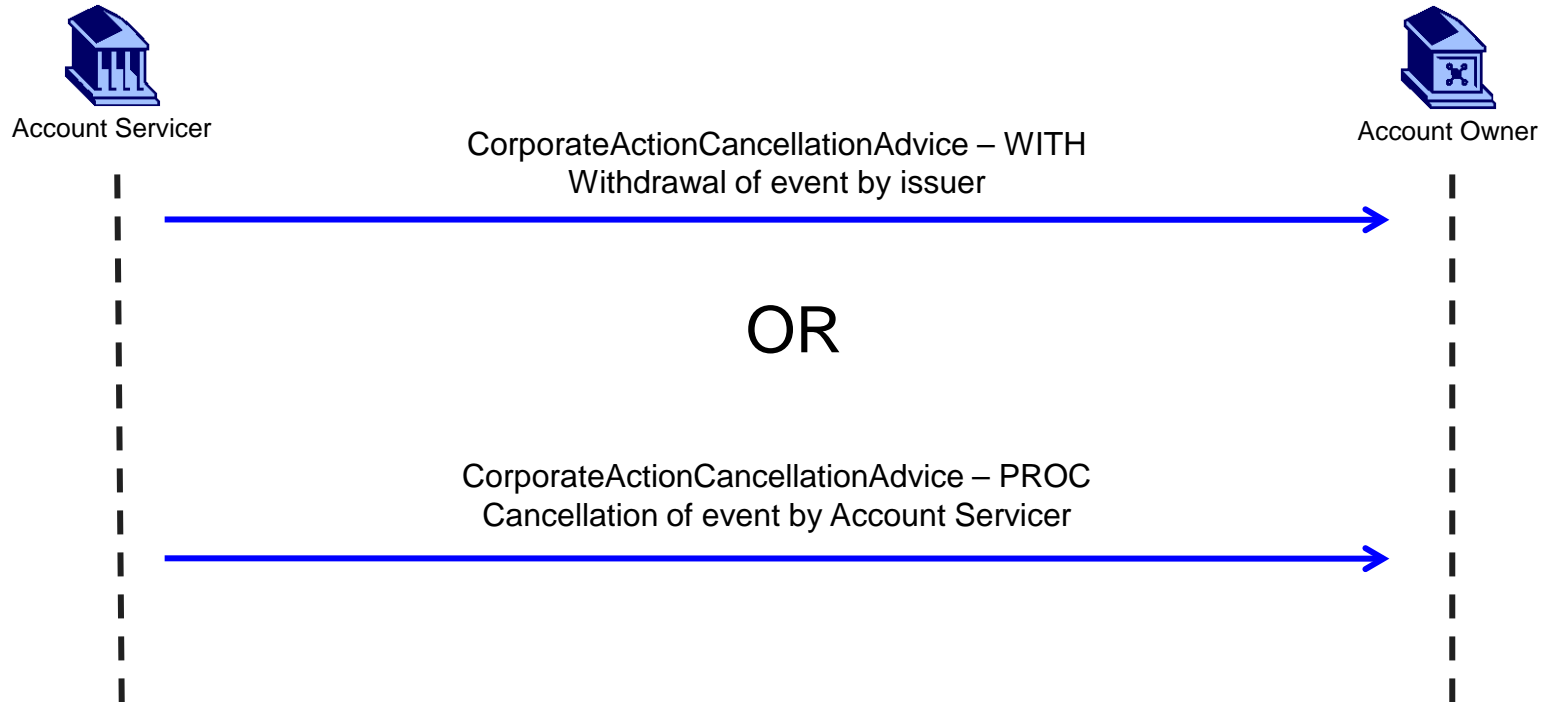
# Corporate Actions Flows

## *Movement Preliminary Advice Cancellation flows*



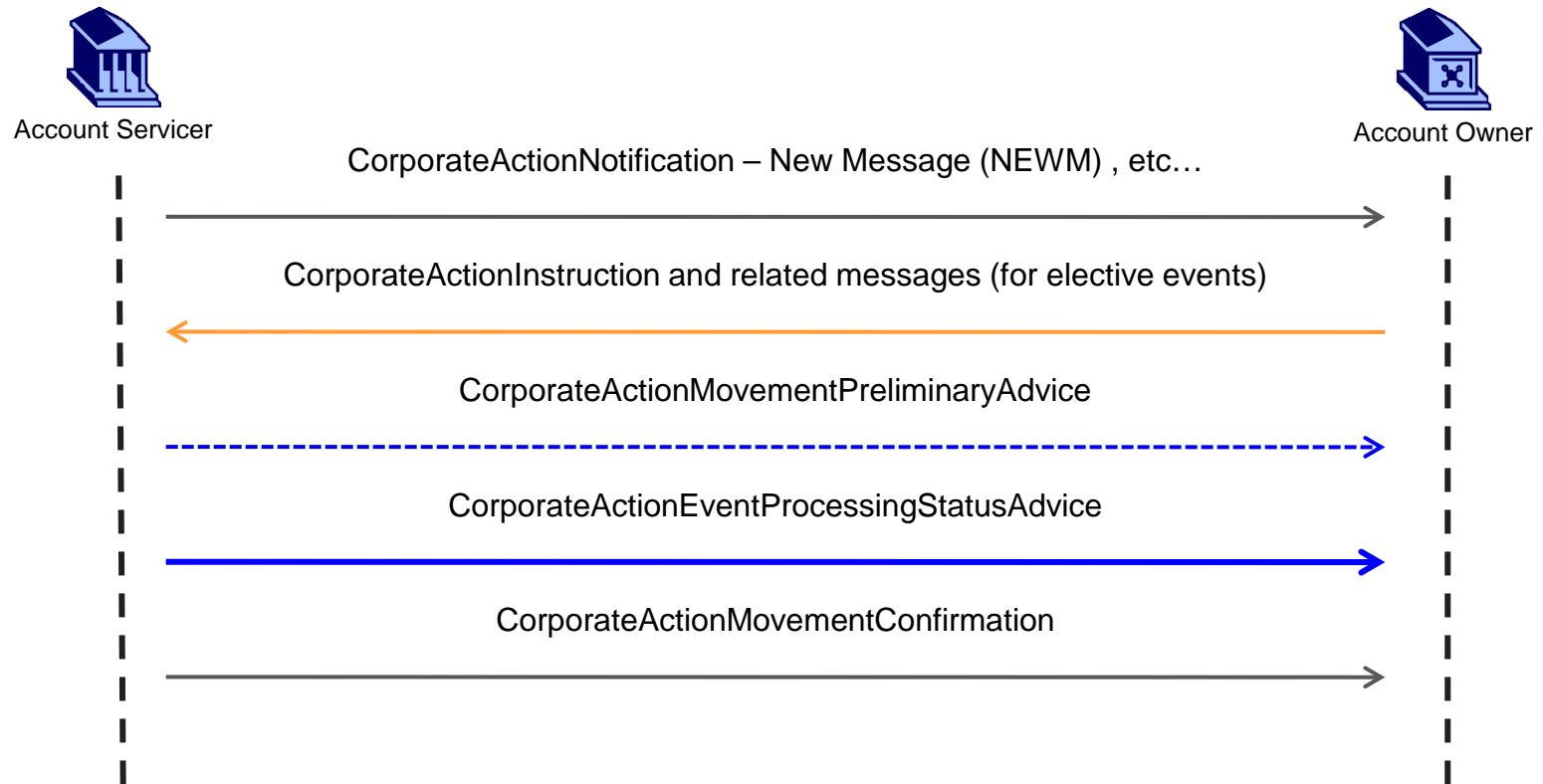
# Corporate Actions Flows

## *Corporate Action Event Cancellation Process*



# Corporate Actions Flows

## *Corporate Action Event Processing Status Advice*



# Q & A

