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Meeting ID: 861 1413 3771 Passcode: 4CZCsF (by phone: 479562) One tap mobile: +17806660144,,86114133771#,,,,\*479562# Canada +12042727920,,86114133771#,,,,\*479562# Canada +438 809 7799 (QC); 647 374 4685 or 647 558 0588 (GTR); 778 907 2071 Canada (BC)

# **T+1 Communications and Education Working Group (CEWG)**

## **Proposed Agenda**

Tuesday, July 25, 2023 – 1:00 pm ET/11:00 am PT

| i.   | Welcome, introductions (Christine Harminc, IFIC)  | All   |
|------|---|---|
| ii.  | <ul> <li>Draft minutes of May 9 CEWG Meeting (Attachment 1)</li> <li>i. Review/approve</li> <li>ii. Review matters arising from minutes</li> </ul>  | Members   |
| iii. | <ul> <li>New T+1 news/information</li> <li>i. Member/association updates</li> <li>ii. Canadian update</li> <li>iii. U.S. update</li> <li>iv. International news</li> <li>v. Events/articles/other communications and education updates</li> </ul> | Members/CCMA<br>Members<br>Staff<br>Staff<br>Members/Staff<br>Staff |
| iv.  | For review, amendment, approval<br>i. Draft newsletter <i>(Attachment 2)</i>  | Members   |
| i.   | <ul> <li>For discussion</li> <li>i. Messaging to issuers and legal advisors re corporate actions/entitlements and ex dates</li> <li>ii. Preliminary survey results (<i>Attachment 3</i>)</li> </ul>   | Members   |
| iii. | Other issues as raised  | Members   |
| iv.  | Summary of action, next steps, and next meeting (August)  | Staff   |



Attachment 1

## **T+1** Communications and Education Working Group (CEWG)

## **Draft Minutes**

#### Tuesday, May 9, 2023

#### 1. Welcome, introductions

Members welcomed new meeting participants. *Note: See attached list of meeting participants, agreements, and action items.* 

#### 2. Draft minutes of the April 11 CEWG Meeting

The draft minutes of the March 14 CEWG meeting were accepted without discussion [**Note:** One minor correction was received following the meeting clarifying that Russ White, Fundserv, had with Matt (FMFD) provided the T+1 update].

#### 3. New T+1 news/information

#### i. Member/association updates

Ahren provided an update on the **PIAC** T+1 webinar at which Keith and Mark Austen had spoken. About 30 people had attended; Ahren agreed to share any feedback from the post-webinar survey (*Note: Positive feedback received; 10% of attendees had responded*). Dexter said that an article on T+1-related **CASLA** issues had been completed and was posted on the CASLA (and CCMA) website. Barb had spoken with **PMAC** staff who had confirmed that the apparent acceptance of 9 p.m. after a midnight start did not reflect the association's preference, which was to avoid a time earlier than the industry had proposed. Also, PMAC staff had said that they would be pleased to speak with commission staff about this.

#### ii. U.S. update

Keith Evans was attending and presenting on T+1 at a large SIFMA Ops conference in the week of May 15. Feedback to follow.

#### iii. International news

No update.

#### iv. Event/article/other communications and education updates

- **April 27:** There was to have been a T+1 reference at the OSC Dialogue; Frank agreed to verify this and any reaction; a number of CEWG members who had attended said that they did not recall a T+1 mention (**Note:** Frank later confirmed the issue had not been mentioned).
- *May 2:* There had been a T+1 event sponsored by Torstone; the in-person event provided an opportunity for more informal discussion and Barb had been asked to follow up with a consultant who was interested in helping with the T+1 project.
- *May 30:* IFIC was holding its annual Operations Day in person on May 30; Pira confirmed that T+1 was on the agenda, with Russ White from Fundserv speaking.

- Barb mentioned that two more articles had been identified with a May 28, 2024 date; the publishers had been advised of the correct date for Canada.
- Barb said that the TMX has asked to use the CCMA logo on a T+1 page; she would be discussing this with TMX/CDS staff on May 12.

#### 4. For review, amendment, approval

**T+1 Self-Assessment Checklist:** Members were asked to review and provide feedback on Attachment 2 to the agenda as soon as possible.

#### 5. For discussion: Need to update/updating the T+1 Communications Plan

Barb provided an overview of the communications challenges being faced regarding T+1. Alexandra added that the media landscape also has changed, and it is more important than ever that communications be pithy, quick, and accessible, with the right information on the right platforms.

Alexandra and Yianna had agreed at the previous meeting to give the need for an updated communications plan some thought and presented proposals for the immediate future for discussion:

#### *i.* Issue an announcement/release – suggested May 27 release date

- Announcing the 1-year countdown to T+1 settlement
- Why CCMA is the reference for all updates regarding T+1
- How CCMA is working with different entities around T+1

**Agreed:** All present agreed with/accepted a 'big' announcement would help. Pat (CETFA) and Matt (FMFD) confirmed that they would agree to have their associations listed on the release; Dexter said he would check with Kyle re CASLA and Mauro said he would check with the CBA. The remaining association (and infrastructure) members were asked to check if there were any objections for their business names to be listed (ideally with logo).

#### *ii.* Update CCMA website

- Add a T+1 landing page section
- Archive what's new/communications

**Agreed:** All present agreed with/accepted an update to the landing webpage now that the PTM was no longer a CCMA priority; a mock-up would follow.

#### *iii. Prepare a content calendar*

- Social media (2 posts per week; engage with different stakeholders daily; members/associations to repost, etc.)
- Monthly/other newsletters

#### iv. Create/update lists (media, stakeholders, etc.)

- Spokesperson list/media training
- Upcoming events (Pat **agreed** to provide a list)
- Press coverage review (add all articles about T+1)
- Identification of unused channels to expand reach of consistent message (consultancies, custodians, service bureaus, infrastructure, and vendors)

#### Topics raised requiring further discussion at a future meeting included:

- The impact of T+1 on retail investors, which was still not clear: Matt mentioned engaging with client-facing advisors through Advocis, CIFPS-ETF magazines, FP Canada, etc. Paniz mentioned the possibility of a T+1 bulletin.
- Engaging with regulators (FSRA, various Offices of the Investors, OSFI?)
- Doing another questionnaire/survey

(*Note:* D. O'Marra was unable to attend the discussion but had suggested directing our communications to industry participants in what we believe could be certain sectors that are less prepared than others, for example, buyside are not as ready and as far along in having teams focused and participation in the industry planning and issues being communicated.).

#### 6. Other issues as raised

None

#### 7. Next meeting

June 13

| Agı | reements  |          |            |
|-----|---|----------|------------|
| 1.  | Members accepted the draft minutes subject to a minor change.           |          |            |
| 2.  | Members agreed with the action plan:                                    |          |            |
|     | 1. Issue an announcement/release tied to May 27                         |          |            |
|     | 2. Update CCMA website  |          |            |
|     | 3. Develop content calendar   |          |            |
|     | 4. Create lists/expand communications channels                          |          |            |
| Act | ion Items   |          |            |
| #   | Description   | Who      | Status     |
| 1.  | Comment on T+1 self-assessment checklist                                | Members  | ASAP       |
| 2.  | <ul> <li>Comment on new 'portal' T+1 landing page</li> </ul>            | Members  | ASAP when  |
|     | <ul> <li>Comment on draft year-to-go release when circulated</li> </ul> | Members  |            |
|     | <ul> <li>Comment on draft T+1 newsletter when circulated</li> </ul>     | Members  | issued     |
| 3.  | Draft announcement tied to May 27                                       | BA/YD/AD | ASAP       |
|     | <ul> <li>Confirm if associations disagree with being listed</li> </ul>  | Members  | ASAP       |
|     | Engage associations, infrastructure                                     | Barb     | ASAP       |
|     | Update CCMA website   | Barb     | By May 27  |
|     | Develop a content calendar  | YD/AD    | TBD        |
|     | • Provide a list of known events where T+1 could be added               | Pat      | Done       |
|     | Update lists/expand communications channels                             | AD/YD/BA | TBD        |
| Fro | m preceding meetings  |          |            |
| 1.  | Follow up with the IIAC for an IIAC member to help co-ordinate          | Barb     | Efforts    |
|     | communications with the broker-dealers                                  |          | ongoing    |
| 2.  | Extend media outreach once more concrete information is                 | CEWG     | Yianna and |
|     | available   |          | Alexandra  |
| 3.  | Help on the Buyside Checklist   | Travas   | TBD        |
| 4.  | Manage podcast or blog/Qs&As re buyside liquidity issues                | Merici   | TBD        |
| 5.  | Draft article for CIFP  | Barb     | TBD        |
| 6.  | Prepare an outline/draft generic T+1 presentation                       | Barb     | Underway   |
|     |   |          |            |

| [ | Meeting Attendee | S          |      |
|---|------------------|------------|------|
|   | Ahren            | Estabrooks | OTPP |

| Paniz     | Ghazanfari         | Advocis                             |
|-----------|--------------------|-------------------------------------|
| Michael   | Giancursio         | BMO: Bank of Montreal               |
| Svetlana  | Perunova           | BMO: Bank of Montreal               |
| Michelina | Crecco             | BMO: Bank of Montreal               |
| Elizabeth | Naumovski          | Caldwell                            |
| Troy      | Sy                 | Caldwell                            |
| Mauro     | Lagana             | CBA: Canadian Bankers Association   |
| Barb      | Amsden             | ССМА                                |
| Pat       | Dunwoody           | CETFA                               |
| Halyna    | Fenkanyn-Hawryshko | CIBC                                |
| Alexandra | Decata             | CIBC Mellon                         |
| Nick      | Douzenis           | CIBC Mellon                         |
| Brent     | Mizzen             | CLHIA                               |
| Matthew   | Latimer            | FMFD                                |
| Pira      | Kumarasamy         | IFIC                                |
| Yianna    | Daklaras           | National Bank                       |
| Matthew   | Andreacchi         | Ontario Securities Commission (OSC) |
| Frank     | Lacroce            | Ontario Securities Commission (OSC) |
| Melissa   | Ghislanzoni        | PMAC                                |
| David     | Petiteville        | RBC                                 |
| Dexter    | Gall               | RBC                                 |
| Trottman  |                    |                                     |
| Laxman    |                    |                                     |



# T+1 Priority Round-Up

Vancouver Financial District (Source: Vancouver Economic Commis

With less than a year to go until the May 2024 T+1 transition, Operations Working Group (OWG) members have prioritized open issues into high, medium, and low. High-priority items are the primary focus, being the ones posing the greatest impediments to a smooth T+1 migration. Medium-and low-priority items will be dealt with as time and resources permit.

#### **HIGH PRIORITY ISSUES**

**Industry T+1 test plan** (*OWG-001*): Bilateral and industrywide unscripted and scripting testing are complex and critical for the move to T+1.

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**ETF creation/redemption process** *(OWG-003)*: ETF creation (the delivery of baskets of underlying securities that form ETF units) in the primary market may fail, which will cause secondary market trades settling on T+1 to likewise fail.

National Instrument (NI) 24-101 Institutional Trade Matching and Settlement (OWG-005): Canada's move to T+1 is subject to rule NI 24-101 that sets the timeline for confirming/matching trades in Canada. Securities lending (OWG-009): Securities on loan may need to be recalled for settlement purposes and if this process cannot be adapted for T+1, fails and/or costs will increase.

**Foreign exchange** (*OWG-020*): T+2 is the spot FX settlement convention for major currencies other than for CAD/USD pairings, which settle on T+1. Risks of currency and securities settlement mismatches may increase funding costs and fails.

**Ex-date processing during T+1 transition period** (*OWG-022*): Ex dates for Entitlement processing (determining to whom and when an entitlement obligation is paid to the buyer or seller) are based on events' record date. Trades on the last T+2 and the first T+1 trade date will have a common settlement date, or entitlements would be payable to both buyer and seller.

Trade confirmation, allocation, affirmation, matching process (OWG-031): This process must be condensed materially to enable T+1 settlement without increasing fails

**Conversion weekend backout plan** (*OWG-038*): The move to T+1 is more difficult, with the loss of a day to 'fix' things, and the SEC hasn't provided for a formal go/no-go decision checkpoint.

CDS issued its T+1 <u>test plan</u> on April 5, 2023 and T1SC approved it on May 29, 2023. Connectivity testing will start in October 2023, allowing some early testing of individual firm system changes. The number of planned testing cycles – four, starting January 8, 2024 – are twice the number of test cycles in the move to T+2. **What's next?** CDS will issue detailed test scenarios in summer 2023. OWG reviewed an <u>analysis</u> prepared with input from the OWG's short-term ETF Task Force,

with analysis and four recommendations: (i) ask regulators for blanket exemptive relief to permit the posting of cash collateral to manage timing mismatches; (ii) develop at least an interim ETF industry collateral process (e.g., acceptable collateral, timing of delivery/return, safekeeping, settlement suspension of short securities, etc.); (iii) continue exploring a centralized collateral solution with CDS; and (iv) investigate other issues, e.g., lack of file standardization, settlement cycle mismatch, pricing. **What's next?** The ETF TF will continue working on solutions and report progress monthly to OWG.

Following the OWG's August 11, 2022 recommendation and with the T+1 Steering Committee's (T1SC) August 23, 2022 approval, the CCMA <u>advocated in a March 17, 2023 letter</u> for 3:59 a.m. ET on T+1 as the minimum 90% T+1 matching deadline that best meets Canadian participant and foreign investor needs. In June, the CSA was asked to confirm 3:59 in July/as soon as possible in summer 2023. **What's next?** The CCMA will follow up with CSA staff.

The Canadian Securities Lending Association (CASLA) is working with TMX/CDS, which is building an automated securities loan recall portal. Also, CASLA is working with third-party securities lending solution providers and TMX/CDS to facilitate loan recall interconnectivity between securities lending counterparties using different providers. **What's next?** TMX/CDS intends to initiate recall portal testing and confirmation of the inter-third-party-provider solution during the summer of 2023. Formal OWG discussions of the challenges of processing FX associated with securities trades has begin. **What's next?** This issue and solution options will be discussed by OWG members on August 10, 2023.

Exchanges will communicate with issuers, and the CCMA will make efforts to reach issuers' legal and other advisors to encourage that May 27, 2024 be avoided as much as possible in the case of new corporate actions and entitlement events. It isn't possible to change terms of trust indentures, DRIP plans, etc. for existing high-volume events, however, complex corporate action volumes are relatively low, and CDS will monitor in-flight events particularly vigilantly in the lead-up to/through the transition weekend and following week, notifying participants to help process events. **What's next?** The CCMA will develop messaging to contact the exchanges, legal and other advisors, and CDS will use it to advise transfer agents, encouraging the latter to provide the relevant information to issuers.

The T1SC approved amendments to the <u>CDS Job Scheduler</u> in June 2022 (slightly amended in 2023), setting new or confirming cut-off times for trade entry, corrections, block trade allocations and reconciliations by 7:30 p.m. ET on T with all ITP trades confirmed by both the Buyside and their Custodian by 3:59 AM ET on T+1. **What's next?** Infrastructure, service bureaus and technology providers are asked to provide bimonthly updates.

Discussion of this point has not yet started, however, participants are encourage to consider a T+1 recovery/back-out plan and resiliency testing. **What's next?** OWG will assign the development of different scenarios and considerations in late 2023 for broader OWG discussion.



## Mutual funds: To move or not to move?

The Canadian Securities Administrators (CSA), in a December 15, 2022 <u>CSA Staff Notice 81-335 Investment</u> <u>Fund Settlement Cycles</u>, announced that they did not propose to mandate a T+1 settlement cycle for all mutual fund securities. Instead, the CSA was looking to provide flexibility for the manufacturers to decide which funds could move to T+1 and which ones were better suited to remain at T+2. CSA staff were "... of the view that many Canadian mutual funds would be able to settle primary distributions and redemptions

of their securities on T+1 if the standard settlement for portfolio assets held by the fund move to T+1 in Canada." The notice added that "...where practicable, mutual funds should settle primary distributions and redemptions of their securities on T+1 voluntarily." Original estimates of the conventional mutual and segregated funds that would move to the shorter T+1 settlement cycle were high for the approximately 90,000 funds that now settle on T+2. More recently, a number of fund manufacturers revisited moving the majority (or perhaps any?) of their funds to T+1 settlement for a variety of reasons, e.g., percentage of foreign-owned securities in different funds, fund cash-holding practices, cost, and lack of U.S.-style mechanisms to help manage mismatches between purchasing/redeeming funds with different settlement periods. Given emerging questions, even fund manufacturers move a high percentage of funds to T+1 are concerned about confusion if some manufacturers move a majority of funds to T+1 and others remain predominantly on T+2. This will not impede the Canadian market move to T+1 – that ship has sailed – however, expect to hear more fund discussions in coming months.

## And on the derivatives front...

CDCC has confirmed what is changing, and what won't change, when Canadian derivatives move to T+1.

| Current  | Future   |
|--|--|
| Options exercises,<br>assignments, and futures<br>tenders (equity, ETF, and fixed-<br>income) are processed by<br>CDCC with a T+2 settlement<br>date. <b>Note:</b> BTCC – Purpose<br>Bitcoin ETF – currently settle<br>and will remain on a T+1<br>settlement cycle. | <ul> <li>The standard settlement date for options exercises, assignments, and futures tenders will be T+1 (next business day), with no change to the (i) expiry process, (ii) 10:30 p.m. ET on T deadline for trade submissions to CDSX directly or through the central clearing counterparty (CCP), (iii) file and report delivery times, or (iv) timing of BTCC exercised and assignments.</li> <li>CDCC will publish minor rule changes for comment (target: October 26, 2023) and make systems configuration changes over the May 25/26, 2024 weekend.</li> <li>CDCC participants will be able to test CDCC processes during a two-week period (date to be determined) during CDS's industry-wide test period (winter/spring 2024).</li> </ul> |

## **Committee Updates**

# 🗓 To Dos

CMA committees continue meeting monthly, with the latest from each committee available on the relevant <u>committee webpage</u>. To join a CCMA committee, please email us at <u>info@ccma-acmc.ca</u>.



Investigate any implications of the announcement by Mexican capital markets of their <u>intention to initiate a formal request for a</u> <u>move to T+1</u> on May 27, 2024 (other countries in the Americas/Caribbean may announce moves to T+1 also in the next few months)

## 🛄 To come

- CSA decision on 3:59 a.m. ET on T+1
- CSA and IIROC final rules and CDCC draft rules
- CCMA T+1 readiness survey results

### Attachment 3

# **Interim Survey Results**

| Sellside – CCMA T+1 Preparations S  | SURVOV                 |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
|---|------------------------|--------------------|----------------|---------|-------------------------------------|-----------|-----------------|-----------|------------------|----------|------------------|------------|------------|---------|
| Q1. What size company best describes the comp   |                        | ork for?(          | Please selec   | t one a | answer only)                        |           |                 |           |                  |          |                  |            |            |         |
| Answer Choices  | Respo                  | onses              |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| ery small (< 10 staff/FTEs)   | 0.0%                   |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| mall (11-99 staff/FTEs)<br>ledium (100-499 employees/FTEs)  | 15.4%<br>7.7%          |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| arge (500+ employees/FTEs)  | 76.9%                  |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| lease elaborate if you wish.  |                        | 0                  |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
|   | Answered               | 13                 |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| 2. What is the status of your T+1 development pre   |                        |                    | ect the stage  | you ar  | e at and comp                       | ete the   | comment fie     | d to elat | orate on your    | answe    | er, if required) |            |            |         |
| Answer Choices  | Respo                  |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| ust starting  | 7.7%                   |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| <ul> <li>analysis and business requirements phase</li> <li>ompleted analysis and business requirements phase</li> </ul> | 38.5%<br>30.8%         |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| i internal development phase  | 23.1%                  |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| ate in internal development phase   | 0.0%                   |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| ompleted internal development phase   | 0.0%                   |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| lease elaborate if you wish.  |                        | 1                  |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| Respondent ID   | Answered<br>esponse Da |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| 18357841845   |                        |                    |                | ETF P   | rocessing Solu                      | itionning | g are still not | complet   | ed pending ind   | dustry a | alignment        |            |            |         |
|   |                        |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| 3. What is the status of your T+1 testing prepar<br>Answer Choices  | rations? (Pl<br>Respo  |                    | ct as many a   | is appl | y at and com                        | plete th  | ie comment      | field to  | elaborate on     | your     | answer, if ne    | eded)      |            |         |
| internal test planning phase  | 92.3%                  |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| external test planning stage  | 53.9%                  |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| internal testing phase  | 15.4%                  | 2                  |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| ompleted internal development testing (UAT)   | 0.0%                   |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| ther (please specify, e.g., our firm is already T+1 c   | 15.4%                  |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| ther (please specify)   | Answered               | 2                  |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
|   | Answered               | 10                 |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
|   | esponse Da             |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| 18370664052   |                        |                    | s to all UAT e |         |                                     | lion      |                 | meller    |                  |          | t fully and -    | tod 41 '   |            |         |
| 18368503108   |                        |                    |                |         | . The issues re<br>with their cust  |           | re on some s    | mailer b  | uy side that h   | ave no   | n tully automa   | ated their |            |         |
|   |                        | . oporting a       | and committing |         | unen cust                           | Judill    |                 |           |                  |          |                  |            |            |         |
| 4. What is the status of your communication(s)  |                        |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
|   | Not st                 |                    | In plann       |         | Underwa                             |           | Comple          |           | Don't kn         |          | Not appli        |            | Total      |         |
| ownstream to financial firm clients/members/ partic   | 15.4%                  |                    |                |         |                                     | 7         |                 |           | 0 0.0%<br>I 0.0% |          |                  |            |            |         |
| pstream to service providers?<br>o institutional investors?   | 15.4%                  |                    |                |         |                                     | 8         |                 |           |                  |          |                  |            |            |         |
| o retail investors?   | 7.7%                   |                    |                |         |                                     | 4         |                 |           | 0.0%             |          |                  |            |            |         |
| o other parties?  | 7.7%                   | 1                  |                |         |                                     | 6         |                 |           | 7.7%             |          |                  |            |            |         |
| ther (please specify)   |                        |                    |                |         |                                     |           |                 |           |                  |          |                  |            | 0          |         |
|   |                        |                    |                |         |                                     |           |                 |           |                  |          |                  | Answer     | 13         |         |
| 5. How confident are you that your firm is on ta  | arget to: (            | Please se          | lect one ans   | wer pe  | er row)                             |           |                 |           |                  |          |                  |            |            |         |
|   |                        |                    | Somewhat co    |         |                                     | lent      | Don't k         | now       | Not applic       | able     | Total            |            |            |         |
| omplete necessary development before December   | 15.4%                  | 2                  | 69.2%          | 9       | 15.4%                               | 2         | 0.0%            | (         | 0.0%             | 0        | 13               | i          |            |         |
| omplete industry testing with CDS between Januar  |                        |                    |                |         |                                     | 0         |                 |           |                  |          |                  |            |            |         |
| omplete necessary testing with Fundserv between   |                        |                    |                |         |                                     | 0         |                 |           |                  |          |                  |            |            |         |
| omplete necessary testing with DTCC by April 30,<br>moothly transition to T+1 on Monday, May 27, 2024                   |                        |                    |                |         |                                     | 0         |                 |           | 0 7.7%<br>0 0.0% |          |                  |            |            |         |
| moothly handle double settlement date volumes (T-   |                        |                    |                |         |                                     | 1         |                 |           | 0.00%            |          |                  |            |            |         |
| ther (please specify)   | 00.070                 | 5                  | 00.070         | 1       | 1.170                               |           | 0.070           |           | 0.0070           | 0        | 0                |            |            |         |
|   |                        |                    |                |         |                                     |           |                 |           |                  | Answ     |                  |            |            |         |
|   |                        |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| 6. How worried are you regarding the following  |                        | hallenges<br>issue | Somewhat of    |         |                                     | ,         | Don't k         | 0014/     | Not applic       | ablo     | Total            |            |            |         |
| eing able to report ~100% of allocated trades to CE   |                        |                    |                |         |                                     | sue<br>5  |                 |           | 0.0%             |          |                  |            |            |         |
| eing able to confirm 90% of trades by 3:59 a.m. on  |                        |                    |                |         |                                     | 1         |                 |           |                  |          |                  |            |            |         |
| eing able to transition to and use an automated sec   |                        |                    |                |         |                                     | 1         |                 |           | 3 0.0%           |          |                  |            |            |         |
| ave the ETF create/redeem process resolved?   | 23.1%                  |                    |                |         |                                     | 1         |                 |           | 30.8%            |          |                  |            |            |         |
| e able to settle trades denominated in foreign curre  | r 0.0%                 | 0                  | 38.5%          | 5       | 30.8%                               | 4         | 23.1%           | 3         | 3 7.7%           | 1        |                  |            |            |         |
| ther (please specify)   |                        |                    |                |         |                                     |           |                 |           |                  | Answ     | 0<br>e 13        |            |            |         |
|   |                        |                    |                |         |                                     |           |                 |           |                  | AIISW    | t 13             |            |            |         |
| 7. How comfortable are you that: (Please select   | one answer             | per row)           |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
|   |                        |                    | omewhat cor    |         |                                     |           | Don't k         |           | Not applic       |          | Total            |            |            |         |
| our infrastructure, service providers/vendors will sm   |                        |                    |                |         |                                     | 1         |                 |           | 0.0%             |          |                  |            |            |         |
| our counterparties in the industry will smoothly han<br>ther firms in the industry will smoothly handle the tr          |                        |                    |                |         |                                     | 3         |                 |           |                  |          |                  |            |            |         |
| ther (please specify)   | . 1.170                | 1                  | 53.9%          | 1       | 50.070                              | 4         | 1.170           |           | 0.0%             | 0        | 13               |            |            |         |
| (1 1)   |                        |                    |                |         |                                     |           |                 |           |                  | Answ     |                  |            |            |         |
|   |                        |                    | _              |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| Respondent ID<br>18368327153  | esponse Da             |                    |                | h our C | ounterparties                       | to simil  | arly prepare f  | or and to | st solutions in  | n nreno  | ration for mo-   | etina T±1  | Reculto    | of this |
|   |                        |                    |                |         | /ill provide furth                  |           |                 |           | SC SOIGUOIIS II  | . hieha  |                  | sung i⊤l   | coults     | 51 0115 |
|   |                        |                    |                |         |                                     | -         |                 |           |                  |          |                  |            |            |         |
| 8. Is there anything else – whether in your firm, oth   | er firms, or           | in the indu        | stry – that yo | u can t | hink of that co                     | uld (a) h | nelp or (b) im  | pede a s  | mooth transiti   | on to T  | +1 on May 2      | 7, 2024?   | If so, ple | ase     |
| laborate below.   | -                      |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| nsweredkipped   | 7                      |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
|   |                        |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
|   | esponse Da             |                    | s Tags         |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| 18371043653   | Jul 17 2023            |                    |                |         |                                     |           |                 |           |                  |          | Usalas Ta        | 4.44.2.2.2 |            |         |
| 18371043285   |                        |                    |                |         | rporates confir<br>not resolve inde |           |                 |           |                  |          |                  |            |            |         |
|   |                        |                    |                |         | determine eit                       |           |                 |           |                  |          |                  |            |            |         |
|   |                        |                    |                |         | eved. It would                      |           |                 |           |                  |          |                  |            |            |         |
|   |                        |                    |                |         | , 2024. Only C                      |           |                 |           |                  |          |                  |            |            |         |
|   |                        | and data r         | needed for su  | ch a pr | ojection.                           |           |                 |           | -                |          |                  |            |            |         |
|   |                        |                    |                |         | aration, it may                     |           |                 |           |                  |          |                  |            |            |         |
|   |                        |                    |                |         | would not intro                     |           |                 |           |                  |          |                  |            | act to su  | den ar  |
|   |                        |                    |                |         | nds driven only<br>provides the cl  |           |                 |           |                  |          |                  |            | n those s  | vstems  |
|   |                        |                    |                |         | a complex plar                      |           |                 |           |                  |          |                  |            |            | ,       |
|   |                        | operations         |                |         |                                     | 5         |                 |           |                  |          |                  | , .        |            |         |
| 18370664052   |                        |                    |                | trade e | execution is key                    | / to ens  | uring all brea  | ks for m  | onies/shares a   | are res  | olved. The go    | al is to a | utomate    | some o  |
|   |                        | the tasks          | by doing it in | batche  | s on T+0.                           |           | -               |           |                  |          |                  |            |            |         |
| 18368966509   |                        |                    | n CSA's decis  |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| 18368503108   |                        |                    | ecurities lend | ers sho | ould have an a                      | utomate   | ed process to   | allow to  | borrow or res    | erve se  | ecutities on T   | for T+1 s  | settlemer  | ıt      |
| 18368327153   | Jul 13 2023            |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| 18361718647   | Jul 05 2023            | NA                 |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| 09. Please provide us with any other comments that  | you wish w             | ith respect        | to matters ra  | ised in | this survev or                      | the trar  | nsition to T+1  | AND if    | ou would like    | to be e  | entered in a d   | raw for a  | prize, pl  | ease en |
| our name, company, and email address.   |                        |                    |                |         | -, 5                                |           |                 |           |                  |          |                  |            | , ,p.      |         |
| nswered   | 4                      |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
| kipped  | 9                      |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |
|   |                        |                    |                |         |                                     |           |                 |           |                  |          |                  |            |            |         |

| Buysido - CCMA T   |  |  |   |  |   |   |   |   |  |   |   |  |                                |            |
|--|--|--|---|--|---|---|---|---|--|---|---|--|--------------------------------|------------|
|  | +1 Preparations Survey   |  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Q1. What size company b  | est describes the company you work for?<br>Answer Choices  |  | ct one answe<br>onses   | er only)   |   |   |   |   |  |   |   |  |                                |            |
| Very small (< 10 staff/FTEs  |  | 0.0%   |   |  |   |   |   |   |  |   |   |  |                                |            |
| Small (11-99 staff/FTEs)   | ,  | 20.0%  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Medium (100-499 employee   | ,  | 40.0%  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Large (500+ employees/FT<br>Please elaborate if you wish   |  | 40.0%  | 4   |  |   |   |   |   |  |   |   |  |                                |            |
| nouse elaborate in you men   |  | Answered   | 10  |  |   |   |   |   |  |   |   |  |                                |            |
|  |  |  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Q2. What is the status of  | your T+1 development preparations? (Plea<br>Answer Choices   |  | onses   | re at and co   | mplete the c  | omment fiel   | ld to elabora   | ate on your ai  | nswer, if re                                     | quired)   |   |  |                                |            |
| Just starting  | Answer Onoices   | 30.0%  |   |  |   |   |   |   |  |   |   |  |                                |            |
| In analysis and business re  |  | 50.0%  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Completed analysis and bu<br>In internal development pha   | siness requirements phase  | 0.0%   |   |  |   |   |   |   |  |   |   |  |                                |            |
| Late in internal development pha   |  | 10.0%  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Completed internal develop   |  | 10.0%  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Please elaborate if you wish   | ٦.   |  | 1   |  |   |   |   |   |  |   |   |  |                                |            |
|  |  | Answered   | 10  |  |   |   |   |   |  |   |   |  |                                |            |
|  | Respondent ID  | lesponse Dat   | telaborate if yo  | Tags   |   |   |   |   |  |   |   |  |                                |            |
| 114365588986   |  |  |   |  | of business re  | equirements.  | Requiremen  | nts are depend  | ent on indus                                     | try ratification  | (e.g. NI 24-1   | 01))   |                                |            |
|  |  |  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Q3. What is the status of y  | our T+1 testing preparations? (Please select as<br>Answer Choices  |  | ply at and con<br>onses   | nplete the co  | mment field t   | o elaborate oi  | n your answe  | er, if needed)  |  |   |   |  |                                |            |
| In internal test planning pha  |  | 70.0%  |   |  |   |   |   |   |  |   |   |  |                                |            |
| In external test planning sta  |  | 20.0%  | 2   |  |   |   |   |   |  |   |   |  |                                |            |
| In internal testing phase  | mont testing (LIAT)  | 10.0%  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Completed internal develop<br>Other (please specify, e.g.,   | our firm is already T+1 compliant; no internal of  |  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Other (please specify)   | June 2012 June 2 | 50.070   | 2   |  |   |   |   |   |  |   |   |  |                                |            |
|  |  | Answered   | 10  |  |   |   |   |   |  |   |   |  |                                |            |
|  | Respondent ID  | 'esponso De  | er (please spe  | Tags   |   |   |   |   |  |   |   |  |                                |            |
| 114357793361   | Respondent ID  |  | Pr (please spe<br>No internal d   |  |   |   |   |   |  |   |   |  |                                |            |
| 114357605618   |  |  | Our firm is al  |  | mpliant   |   |   |   |  |   |   |  |                                |            |
| 0.0  |  |  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Q4. What is the status of y  | our communication(s) with each of the following  |  | ease select or<br>tarted  |  | each questio<br>Inning  |   | erway   | Com   | oleted   | Dort  | know  | Not an   | plicable                       | Total      |
| Downstream to financial firr   | n clients/members/ participants?   | 20.0%  |   |  | 0   |   |   | 2 0.0%  |  | 0 0.00%   |   |  |                                |            |
| Upstream to service provide  |  | 0.0%   |   |  |   |   |   | 4 0.0%  |  | 0.00%   |   |  |                                |            |
| To institutional investors?  |  | 20.0%  |   |  |   |   |   | 0.0%  |  | 0 0.00%   |   |  |                                |            |
| To retail investors?<br>To other parties?  |  | 20.0%  |   |  |   |   |   | 0 0.0%  |  | 0 0.00%   |   |  |                                | 1          |
| Other (please specify)   |  | 10.070   |   | 40.070   |   | 10.070  |   | 0.070   |  | 0.0070  |   | 40.0070  |                                |            |
| ,  |  |  |   |  |   |   |   |   |  |   |   |  | Answered                       | 1          |
| 44 405 70 70000  | Respondent ID  |  | br (please spe  | Tags   |   |   |   |   |  |   |   |  |                                |            |
| 114357378200   |  | Jun 30 2023  | Internal  |  |   |   |   |   |  |   |   |  |                                |            |
| Q5. How confident are yo   | u that your firm is on target to: (Please s  | elect one an   | swer per row  |  |   |   |   |   |  |   |   |  |                                |            |
| <b>.</b>   |  |  | onfident  |  | t confident   |   | onfident  |   | know   |   | plicable  | Total  |                                |            |
|  | opment before December 31, 2023?<br>vith CDS between January 8 and April 30, 2024  | 20.0%  |   |  |   |   |   | 0 10.0%<br>1 0.0%   |  | 1 10.0%<br>0 10.0%  |   |  |                                |            |
|  | g with Fundserv between January and April 30, 202  |  |   |  |   |   |   | 1 10.0%   |  | 1 20.0%   |   |  |                                |            |
|  | g with DTCC by April 30, 2024  | 20.0%  |   |  |   |   |   | 1 0.0%  |  | 0 30.0%   |   |  |                                |            |
|  | on Monday, May 27, 2024?   | 40.0%  |   |  |   |   |   | 0.0%  |  | 0 0.0%  |   |  |                                |            |
| Other (please specify)   | ttlement date volumes (T+1/T+2 trades) on Ma   | 40.0%  | 4   | 60.0%  | 6   | 0.0%  |   | 0.0%  |  | 0 0.0%  | 0   | 10   |                                |            |
| other (please speeny)  |  |  |   |  |   |   |   |   |  |   | Answered  | 10   |                                |            |
|  |  |  |   |  |   |   |   |   |  |   |   |  |                                |            |
|  |  |  |   |  |   |   |   |   |  |   |   |  |                                |            |
| Q6. How worried are you  | regarding the following industry challenge   |  |   |  |   | Not or  | inouro  | Den't   | know   | Not on  | nlianhla  | Total  |                                |            |
|  |  | Major  | issue   | Somewhat   | of an issue   |   | n issue   |   | know   |   | plicable<br>0   | Total  |                                |            |
| Being able to report ~100%   | regarding the following industry challenge<br>of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ap   | Major<br>10.00%  | issue<br>1  | Somewhat<br>40.00%   | of an issue<br>4  | 40.00%  | 4   | Don't<br>4 10.00%<br>3 10.00%   |  | Not ap<br>1 0.00%<br>1 0.00%  | 0   | 10   |                                |            |
| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a   | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ap<br>ind use an automated securities lending solution   | Major<br>10.00%<br>10.00%<br>0.00%   | issue<br>1<br>1<br>0  | Somewhat<br>40.00%<br>50.00%<br>40.00%   | of an issue<br>4<br>5<br>4  | 40.00%<br>30.00%<br>0.00%   |   | 4 10.00%<br>3 10.00%<br>0 20.00%  |  | 1 0.00%<br>1 0.00%<br>2 40.00%  | 0<br>0<br>4   | 10<br>10<br>10   |                                |            |
| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a<br>Have the ETF create/redee  | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ar<br>nd use an automated securities lending solutio<br>m process resolved?  | Major<br>10.00%<br>10.00%<br>0.00%<br>0.00%  | issue<br>1<br>1<br>0<br>0   | Somewhat<br>40.00%<br>50.00%<br>40.00%<br>20.00%   | of an issue<br>4<br>5<br>4<br>2   | 40.00%<br>30.00%<br>0.00%<br>0.00%  |   | 4 10.00%<br>3 10.00%<br>0 20.00%<br>0 20.00%  |  | 1 0.00%<br>1 0.00%<br>2 40.00%<br>2 60.00%  | 0<br>0<br>4<br>6  | 10<br>10<br>10<br>10   |                                |            |
| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der  | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ap<br>ind use an automated securities lending solution   | Major<br>10.00%<br>10.00%<br>0.00%<br>0.00%  | issue<br>1<br>1<br>0<br>0   | Somewhat<br>40.00%<br>50.00%<br>40.00%<br>20.00%   | of an issue<br>4<br>5<br>4<br>2   | 40.00%<br>30.00%<br>0.00%<br>0.00%  |   | 4 10.00%<br>3 10.00%<br>0 20.00%  |  | 1 0.00%<br>1 0.00%<br>2 40.00%  | 0<br>0<br>4<br>6  | 10<br>10<br>10<br>10   |                                |            |
| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der  | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ar<br>nd use an automated securities lending solutio<br>m process resolved?  | Major<br>10.00%<br>10.00%<br>0.00%<br>0.00%  | issue<br>1<br>1<br>0<br>0   | Somewhat<br>40.00%<br>50.00%<br>40.00%<br>20.00%   | of an issue<br>4<br>5<br>4<br>2   | 40.00%<br>30.00%<br>0.00%<br>0.00%  |   | 4 10.00%<br>3 10.00%<br>0 20.00%<br>0 20.00%  |  | 1 0.00%<br>1 0.00%<br>2 40.00%<br>2 60.00%<br>4 10.00%  | 0<br>0<br>4<br>6  | 10<br>10<br>10<br>10<br>10<br>10   |                                |            |
| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der  | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ap<br>nd use an automated securities lending solution<br>m process resolved?<br>nominated in foreign currencies other than USD   | Major<br>10.00%<br>0.00%<br>0.00%<br>20.00%  | rissue<br>1<br>1<br>0<br>0<br>2   | Somewhat<br>40.00%<br>50.00%<br>40.00%<br>20.00%<br>20.00%   | of an issue<br>4<br>5<br>4<br>2   | 40.00%<br>30.00%<br>0.00%<br>0.00%  |   | 4 10.00%<br>3 10.00%<br>0 20.00%<br>0 20.00%  |  | 1 0.00%<br>1 0.00%<br>2 40.00%<br>2 60.00%<br>4 10.00%  | 0<br>0<br>4<br>6<br>1   | 10<br>10<br>10<br>10<br>10<br>10<br>10   |                                |            |
| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der  | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ar<br>nd use an automated securities lending solutio<br>m process resolved?  | Major<br>10.00%<br>0.00%<br>0.00%<br>20.00%  | r issue<br>1<br>1<br>0<br>0<br>2<br>2<br>br (please spec  | Somewhat<br>40.00%<br>50.00%<br>40.00%<br>20.00%<br>7ags   | of an issue<br>4<br>5<br>4<br>2<br>2  | 40.00%<br>30.00%<br>0.00%<br>10.00%   |   | 4 10.00%<br>3 10.00%<br>0 20.00%<br>0 20.00%<br>1 40.00%  |  | 1 0.00%<br>1 0.00%<br>2 40.00%<br>2 60.00%<br>4 10.00%  | 0<br>0<br>4<br>6<br>1<br><b>Answered</b>  | 10<br>10<br>10<br>10<br>10<br>10<br>10   |                                | For the FT |
| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der<br>Other (please specify)  | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ap<br>nd use an automated securities lending solution<br>m process resolved?<br>nominated in foreign currencies other than USD   | Major<br>10.00%<br>0.00%<br>0.00%<br>20.00%<br>20.00%  | r issue<br>1<br>1<br>0<br>0<br>2<br>2<br>er (please spe<br>We are confi   | Somewhat<br>40.00%<br>50.00%<br>40.00%<br>20.00%<br>20.00%<br>Tags<br>dent that we   | of an issue<br>4<br>5<br>4<br>2<br>2<br>2<br>will deliver ar  | 40.00%<br>30.00%<br>0.00%<br>10.00%   | securities len  | 4 10.00%<br>3 10.00%<br>0 20.00%<br>0 20.00%  | The lack of                                      | 1 0.00%<br>1 0.00%<br>2 40.00%<br>2 60.00%<br>4 10.00%  | 0<br>0<br>4<br>6<br>1<br>Answered   | 10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>5) creates an  | impediment.                    |            |
| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der<br>Other (please specify)  | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ap<br>nd use an automated securities lending solution<br>m process resolved?<br>nominated in foreign currencies other than USD   | Major<br>10.00%<br>0.00%<br>0.00%<br>20.00%<br>20.00%  | r issue<br>1<br>1<br>0<br>0<br>2<br>2<br>er (please spe<br>We are confi   | Somewhat<br>40.00%<br>50.00%<br>40.00%<br>20.00%<br>20.00%<br>Tags<br>dent that we   | of an issue<br>4<br>5<br>4<br>2<br>2<br>2<br>will deliver ar  | 40.00%<br>30.00%<br>0.00%<br>10.00%   | securities len  | 4 10.00%<br>3 10.00%<br>0 20.00%<br>0 20.00%<br>1 40.00%<br>ding solution.  | The lack of                                      | 1 0.00%<br>1 0.00%<br>2 40.00%<br>2 60.00%<br>4 10.00%  | 0<br>0<br>4<br>6<br>1<br>Answered   | 10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>5) creates an  | impediment.                    |            |
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Is there anything else   | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA ag<br>ind use an automated securities lending solution<br>m process resolved?<br>iominated in foreign currencies other than USD<br>Respondent ID<br>you that: (Please select one answer per<br>providers/vendors will smoothly handle the tran<br>industry will smoothly handle the transition to T<br>vill smoothly handle the transition to T+1?   | Major<br>10.00%<br>0.00%<br>0.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.0%   | issue<br>1<br>1<br>0<br>0<br>2<br>br (please spe<br>We are confi<br>(create / rede<br>mfortable<br>2<br>0<br>0<br>0<br>0<br>br (please spe<br>(defined coun<br>Our custodia<br>- that you ca  | Somewhat<br>40.00%<br>50.00%<br>40.00%<br>20.00%<br>20.00%<br>Tags<br>dent that we<br>em process v<br>Somewhat<br>60.00%<br>60.00%<br>Tags<br>terparties (se<br>n clearly nee  | of an issue<br>4<br>5<br>4<br>4<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>3<br>4<br>5<br>6<br>6<br>7<br>6<br>6<br>7<br>6<br>8<br>8<br>8<br>8<br>8<br>1<br>8<br>1<br>8<br>1<br>8<br>1<br>8<br>1<br>8<br>1<br>8<br>1<br>8 | 40.00%<br>30.00%<br>0.00%<br>10.00%<br>10.00%<br>10.00%   | securities len<br>er industry so<br>mfortable                                     | 4 10.00%<br>3 10.00%<br>0 20.00%<br>1 40.00%<br>1 40.00%<br>1 40.00%<br>1 40.00%<br>2 0.00%<br>3 0.00%<br>3 10.00%<br>Canadian brok   | The lack of<br>e CNS capa<br>know                | 1 0.00%<br>1 0.00%<br>2 40.00%<br>2 60.00%<br>4 10.00%<br>4 10.00%<br>4 10.00%<br>5 0.00%<br>0 0.00%<br>1 0.00%   | 0<br>0<br>4<br>6<br>1<br>1<br>Answered<br>lity (ie recalls<br>SD and cash<br>SD and cash<br>plicable<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | a) 10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>5) creates an<br>h collaterals for<br>Total<br>10<br>10<br>10<br>10<br>10     | impediment.<br>or fails (NI 81 |            |
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| Being able to report ~100%<br>Being able to confirm 90% i<br>Being able to confirm 90% i<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der<br>Other (please specify)<br>114365588986<br>Q7. How comfortable are<br>Your infrastructure, service<br>Your counterparties in the i<br>Other firms in the industry v<br>Other (please specify)<br>114365588986<br>114357319780<br>Q8. Is there anything else<br>Answered<br>Skipped<br>114365588986<br>11436538986<br>11436538986<br>11436538986<br>11436538986<br>11436538986 | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA a<br>nd use an automated securities lending solution<br>m process resolved?<br>nominated in foreign currencies other than USD<br>Respondent ID<br>you that: (Please select one answer per<br>providers/vendors will smoothly handle the transition to T<br>will smoothly handle the transition to T+1?<br>Respondent ID<br>e - whether in your firm, other firms, or in t<br>Respondent ID   | 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| Being able to report ~100%<br>Being able to confirm 90%.<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der<br>Other (please specify)<br>114365588986<br>Q7. How comfortable are<br>Your infrastructure, service<br>Your counterparties in the i<br>Other firms in the industry v<br>Other (please specify)<br>114365588986<br>114357319780<br>Q8. Is there anything else<br>Answered<br>Skipped<br>114365588986<br>1143657378200<br>Q9. Please provide us with   | of allocated trades to CDS by 7:30 p.m. on T7<br>of trades by 3:59 a.m. on T+1 (pending CSA ag<br>ind use an automated securities lending solution<br>m process resolved?<br>iominated in foreign currencies other than USD<br>Respondent ID<br>you that: (Please select one answer per<br>providers/vendors will smoothly handle the transition to T<br>vill smoothly handle the transition to T+1?<br>Respondent ID<br>e - whether in your firm, other firms, or in t  | Major<br>10.00%<br>10.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20% 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| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der<br>Other (please specify)<br>114365588986<br>Q7. How comfortable are<br>Your infrastructure, service<br>Your counterparties in the i<br>Other firms in the industry N<br>Other (please specify)<br>114365588986<br>114357319780<br>Q8. Is there anything else<br>Answered<br>Skipped<br>1143652144<br>114357378200<br>Q9. Please provide us with<br>Answered   | of allocated trades to CDS by 7:30 p.m. on T?<br>of trades by 3:59 a.m. on T+1 (pending CSA a<br>nd use an automated securities lending solution<br>m process resolved?<br>nominated in foreign currencies other than USD<br>Respondent ID<br>you that: (Please select one answer per<br>providers/vendors will smoothly handle the transition to T<br>will smoothly handle the transition to T+1?<br>Respondent ID<br>e - whether in your firm, other firms, or in t<br>Respondent ID   | 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| Being able to report ~100%<br>Being able to confirm 90%.<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der<br>Other (please specify)<br>114365588986<br>Q7. How comfortable are<br>Your infrastructure, service<br>Your counterparties in the i<br>Other firms in the industry v<br>Other (please specify)<br>114365588986<br>114357319780<br>Q8. Is there anything else<br>Answered<br>Skipped<br>114365588986<br>1143657378200<br>Q9. Please provide us with   | of allocated trades to CDS by 7:30 p.m. on T7<br>of trades by 3:59 a.m. on T+1 (pending CSA ag<br>nd use an automated securities lending solution<br>m process resolved?<br>nominated in foreign currencies other than USD<br>Respondent ID<br>you that: (Please select one answer per<br>providers/vendors will smoothly handle the transition to T<br>will smoothly handle the transition to T+1?<br>Respondent ID<br>e - whether in your firm, other firms, or in t<br>Respondent ID<br>any other comments that you wish with respect   | 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| Being able to report ~100%<br>Being able to confirm 90%<br>Being able to transition to a<br>Have the ETF create/redee<br>Be able to settle trades der<br>Other (please specify)<br>114365588986<br>Q7. How comfortable are<br>Your infrastructure, service<br>Your counterparties in the i<br>Other firms in the industry to<br>Other (please specify)<br>114365588986<br>114357319780<br>Q8. Is there anything else<br>Answered<br>Skipped<br>114365712144<br>114357378200<br>Q9. Please provide us with<br>Answered  | of allocated trades to CDS by 7:30 p.m. on T7<br>of trades by 3:59 a.m. on T+1 (pending CSA ag<br>nd use an automated securities lending solution<br>m process resolved?<br>nominated in foreign currencies other than USD<br>Respondent ID<br>you that: (Please select one answer per<br>providers/vendors will smoothly handle the transition to T<br>will smoothly handle the transition to T+1?<br>Respondent ID<br>e - whether in your firm, other firms, or in t<br>Respondent ID<br>any other comments that you wish with respect   | 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| ieing able to report ~100%<br>ieing able to confirm 90%<br>ieing able to transition to a<br>lave the ETF create/redee<br>ie able to stitle trades der<br>ther (please specify)<br>14365588986<br>17. How comfortable are<br>our infrastructure, service<br>'our counterparties in the i<br>ther firms in the industry v<br>ther (please specify)<br>14365588986<br>143657319780<br>18. Is there anything else<br>inswered<br>kipped<br>14365588986<br>14363612144<br>143657378200<br>19. Please provide us with<br>inswered<br>kipped                                  | of allocated trades to CDS by 7:30 p.m. on T7<br>of trades by 3:59 a.m. on T+1 (pending CSA ag<br>nd use an automated securities lending solution<br>m process resolved?<br>nominated in foreign currencies other than USD<br>Respondent ID<br>you that: (Please select one answer per<br>providers/vendors will smoothly handle the transition to T<br>will smoothly handle the transition to T+1?<br>Respondent ID<br>e - whether in your firm, other firms, or in t<br>Respondent ID<br>any other comments that you wish with respect   | Major<br>10.00%<br>10.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20.00%<br>20%   | issue<br>1<br>1<br>1<br>0<br>0<br>0<br>2<br>We are confi<br>(create / rede<br>mfortable<br>2<br>0<br>0<br>0<br>er (please spe<br>(defined coun<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0   | Somewhat<br>40.00%<br>50.00%<br>40.00%<br>20.00%<br>20.00%<br>Tags<br>dent that we<br>em process v<br>Somewhat<br>60.00%<br>70.00%<br>60.00%<br>Tags<br>terparties (se<br>n clearly nee<br>n clearly nee<br>n think of th<br>Tags<br>required on N<br>talking abou<br>g buy side fir<br>urvey or the l | of an issue<br>4<br>5<br>4<br>4<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2   | 40.00%<br>30.00%<br>0.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00%<br>10.00% | nfortable<br>ns, and non lovorkflows.<br>mpede a sm<br>challenges.<br>4 am on T+1 | 4 10.00% 3 10.00% 0 20.00% 1 20.00% 1 40.00% 1 40.00% 1 40.00% 2 0.00% 3 0.00% 3 10.00% Canadian brok   | The lack of<br>e CNS capa<br>know<br>er dealers) | 1 0.00%<br>1 0.00%<br>2 40.00%<br>2 40.00%<br>4 10.00%<br>4 10.00%<br>1 0.00%<br>0 0.00%<br>1 0.00%<br>1 0.00%  | 0<br>0<br>4<br>6<br>1<br>1<br>Answered<br>Dily (ie recalls<br>CSD and cash<br>Dilicable<br>0<br>0<br>0<br>0<br>0<br>0<br>4<br>Answered  | 10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>10<br>1  | e below.                       | -102).     |

| 1 · 1 · · · · · · · · · · · · · · · · ·  | escribes the company you work for? (Please seled   | t one answe  | r only)  |  |   |  |  |   |  |   |   |   |                   |         |
|--|--|--|--|--|---|--|--|---|--|---|---|---|-------------------|---------|
|  | Answer Choices   |  | onses  |  |   |  |  |   |  |   |   |   |                   |         |
| ry small (< 10 staff/FTEs)   |  | 25.0%  |  |  |   |  |  |   |  |   |   |   |                   |         |
| all (11-99 staff/FTEs)   |  | 0.0%   |  |  |   |  |  |   |  |   |   |   |                   |         |
| dium (100-499 employees/F  | TEs)   | 0.0%   |  |  |   |  |  |   |  |   |   |   |                   |         |
| ge (500+ employees/FTEs)   |  | 75.0%  |  |  |   |  |  |   |  |   |   |   |                   |         |
| ase elaborate if you wish.   |  |  | 1  |  |   |  |  |   |  |   |   |   |                   |         |
| ,,   |  | Answered   | 4  |  |   |  |  |   |  |   |   |   |                   |         |
|  | Respondent ID  |  | elaborate if yo  | Tags   |   |  |  |   |  |   |   |   |                   |         |
| 4360168624   |  |  | Largest custo  |  | da  |  |  |   |  |   |   |   |                   |         |
|  |  |  |  |  |   |  |  |   |  |   |   |   |                   |         |
| . What is the status of your   | T+1 development preparations? (Please select the   | stage you a  | re at and com  | plete the co   | nment field to  | o elaborate on you   | ur answei  | r, if required)   |  |   |   |   |                   |         |
|  | Answer Choices   | Resp   | onses  |  |   |  |  |   |  |   |   |   |                   |         |
| t starting   |  | 0.0%   | 0  |  |   |  |  |   |  |   |   |   |                   |         |
| analysis and business require  | ements phase   | 50.0%  | 2  |  |   |  |  |   |  |   |   |   |                   |         |
| npleted analysis and busines   | ss requirements phase  | 0.0%   | 0  |  |   |  |  |   |  |   |   |   |                   |         |
| nternal development phase  |  | 0.0%   | 0  |  |   |  |  |   |  |   |   |   |                   |         |
| e in internal development ph   | lase   | 25.0%  | 1  |  |   |  |  |   |  |   |   |   |                   |         |
| mpleted internal developmen  |  | 25.0%  | 1  |  |   |  |  |   |  |   |   |   |                   |         |
| ase elaborate if you wish.   |  |  | 1  |  |   |  |  |   |  |   |   |   |                   |         |
| ,  |  | Answered   | 4  |  |   |  |  |   |  |   |   |   |                   |         |
|  |  | Skipped  | 0  |  |   |  |  |   |  |   |   |   |                   |         |
|  |  |  |  |  |   |  |  |   |  |   |   |   |                   |         |
|  |  |  | elaborate if yo  |  |   |  |  |   |  |   |   |   |                   |         |
| 4360168624   |  | Jul 05 2023  | Developmen   | t to be compl  | eted by Nov 2   | 023  |  |   |  |   |   |   |                   |         |
|  |  |  |  |  | A   |  |  |   |  |   |   |   |                   |         |
| What is the status of your   | T+1 testing preparations? (Please select as many a   |  |  | he comment   | field to elabo  | rate on your answ  | ver, if nee  | eded)   |  |   |   |   |                   |         |
|  | Answer Choices   |  | onses  |  |   |  |  |   |  |   |   |   |                   |         |
| nternal test planning phase  |  | 25.0%  |  |  |   |  |  |   |  |   |   |   |                   |         |
| external test planning stage   |  | 0.0%   |  |  |   |  |  |   |  |   |   |   |                   |         |
| internal testing phase   |  | 50.0%  |  |  |   |  |  |   |  |   |   |   |                   |         |
| mpleted internal developmen  |  | 0.0%   |  |  |   |  |  |   |  |   |   |   |                   |         |
|  | firm is already T+1 compliant; no internal developm  | 25.0%  |  |  |   |  |  |   |  |   |   |   |                   |         |
| her (please specify)   |  |  | 2  |  |   |  |  |   |  |   |   |   |                   |         |
|  |  | Answered   | 4  |  |   |  |  |   |  |   |   |   |                   |         |
|  | Respondent ID  | esponse Dat  | er (please spe   | e Tags   |   |  |  |   |  |   |   |   |                   |         |
| 4362224692   |  | Jul 07 2023  | Our vendors  | are building v   | vhat we need  |  |  |   |  |   |   |   |                   |         |
| 4360168624   |  | Jul 05 2023  | Internal deve  | elopment and   | testing to be   | completed prior to   | industry   | testing   |  |   |   |   |                   |         |
|  |  |  |  |  |   |  |  |   |  |   |   |   |                   |         |
| . What is the status of your c   | communication(s) with each of the following groups   |  |  |  |   |  |  |   |  |   |   |   |                   |         |
|  |  |  | tarted   |  | nning   | Underway   |  | Comple  |  | Don't   |   |   | plicable          | Tota    |
| wnstream to financial firm cli   | lients/members/ participants?  | 50.0%  |  |  |   | 50.0%  | 2  | 0.0%  | 0  |   |   | 0 0.0%  |                   |         |
| stream to service providers?   |  | 25.0%  | 1  | 25.0%  | 1   | 25.0%  | 1  | 25.0%   | 1  |   |   | 0 0.0%  | 0                 |         |
| institutional investors?   |  | 25.0%  | 1  | 25.0%  | 1   | 50.0%  | 2  | 0.0%  | 0  | 0.0%  | (   | 0.0%  | 0                 |         |
| retail investors?  |  | 50.0%  | 2  | 0.0%   | 0   | 25.0%  | 1  | 0.0%  | 0  | 0.0%  | (   | 0 25.0%   | 1                 |         |
| other parties?   |  | 50.0%  | 2  | 0.0%   | 0   | 50.0%  | 2  | 0.0%  | 0  | 0.0%  | (   | 0.0%  | 0                 |         |
| ther (please specify)  |  |  |  |  |   |  |  |   |  |   |   |   |                   |         |
|  |  |  |  |  |   |  |  |   |  |   |   |   | Answered          |         |
|  |  |  |  |  |   |  |  |   |  |   |   |   |                   |         |
|  | tuour firm is an target to (Diasse select one an   |  | w)   |  |   |  |  |   |  |   |   |   |                   |         |
| . How confident are you tha  | nt your firm is on target to: (Please select one an  |  |  | Comowhat   | confident   | Not confiden   | .+   | Don't k   |  | Notan   | alicabla  | Total   |                   |         |
|  |  | Very co  | onfident   |  | t confident   | Not confiden   |  | Don't kr  |  | Not app   |   | Total   |                   |         |
| mplete necessary developme   | ent before December 31, 2023?  | Very co<br>50.0%   | onfident 2   | 25.0%  | 1   | 25.0%  | 1  | 0.0%  | 0  | 0.0%  | (   | 0 4   |                   |         |
| mplete necessary developme<br>mplete industry testing with (   | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?   | Very co<br>50.0%<br>75.0%  | onfident<br>2<br>3   | 25.0%<br>25.0%   | 1   | 25.0%<br>0.0%  | 1  | 0.0%<br>0.0%  | 0  | 0.0%  | (   | 0 4<br>0 4  |                   |         |
| mplete necessary developme<br>mplete industry testing with<br>mplete necessary testing with  | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?   | Very co<br>50.0%<br>75.0%<br>50.0%   | onfident 2<br>3<br>2   | 25.0%<br>25.0%<br>0.0%   | 1<br>1<br>0   | 25.0%<br>0.0%<br>0.0%  | 1<br>0<br>0  | 0.0%<br>0.0%<br>25.0%   | 0<br>0<br>1  | 0.0%<br>0.0%<br>25.0%   | (   | 0 4<br>0 4<br>1 4   |                   |         |
| mplete necessary developme<br>mplete industry testing with<br>mplete necessary testing with<br>mplete necessary testing with   | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024   | Very co<br>50.0%<br>75.0%<br>50.0%<br>25.0%  | onfident 2<br>3<br>2<br>1  | 25.0%<br>25.0%<br>0.0%<br>0.0%   | 1<br>1<br>0<br>0  | 25.0%<br>0.0%<br>0.0%  | 1<br>0<br>0  | 0.0%<br>0.0%<br>25.0%<br>25.0%  | 0<br>0<br>1<br>1   | 0.0%<br>0.0%<br>25.0%<br>50.0%  | (   | 0 4<br>0 4<br>1 4<br>2 4  |                   |         |
| mplete necessary developme<br>mplete industry testing with (<br>mplete necessary testing with<br>mplete necessary testing with<br>oothly transition to T+1 on N  | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024<br>Aonday, May 27, 2024?  | Very co<br>50.0%<br>75.0%<br>50.0%<br>25.0%<br>50.0%   | nfident 2<br>3<br>2<br>1<br>2  | 25.0%<br>25.0%<br>0.0%<br>0.0%<br>25.0%  | 1<br>1<br>0<br>0<br>1   | 25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%  | 1<br>0<br>0<br>0   | 0.0%<br>0.0%<br>25.0%<br>25.0%  | 0<br>0<br>1<br>1<br>1  | 0.0%<br>0.0%<br>25.0%<br>50.0%<br>0.0%  | )<br>(<br>(   | 0 4<br>0 4<br>1 4<br>2 4<br>0 4   |                   |         |
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| mplete necessary developme<br>mplete industry testing with<br>mplete necessary testing with<br>nothy transition to T+1 on N<br>noothly handle double settlen<br>her (please specify)<br>how worried are you regar  | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024<br>Aonday, May 27, 2024?<br>ment date volumes (T+1/T+2 trades) on May 28, 202<br>rding the following industry challenges? (Please so<br>illocated trades to CDS by 7:30 p.m. on T?  | Very cc<br>50.0%<br>75.0%<br>50.0%<br>50.0%<br>50.0%<br>select one an<br>Majo<br>0.0%                                  | nfident<br>2<br>3<br>2<br>1<br>2<br>2<br>2<br>swer per row<br>r issue<br>0   | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>/)<br>Somewhat<br>25.0%  | 1<br>1<br>0<br>1<br>1<br>1<br>0<br>0<br>1   | 25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%  | 1<br>0<br>0<br>0<br>0  | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>Don't kr<br>0.0%   | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0   | 0.0%<br>0.0%<br>25.0%<br>0.0%<br>0.0%<br>Not app<br>25.0%   | Answered  | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 1 4   |                   |         |
| mplete necessary developme<br>mplete industry testing with<br>mplete necessary testing with<br>noothly transition to T+1 on N<br>oothly handle double settler<br>her (please specify)<br>5. How worried are you regain<br>ing able to report ~100% of tra-<br>ing able to confirm 90% of tra-  | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024<br>Aonday, May 27, 2024?<br>nent date volumes (T+1/T+2 trades) on May 28, 202<br>rding the following industry challenges? (Please standard trades to CDS by 7:30 p.m. on T?<br>ades by 3:59 a.m. on T+1 (pending CSA approval)  | Very cc<br>50.0%<br>75.0%<br>25.0%<br>50.0%<br>50.0%   | nfident<br>2<br>3<br>2<br>1<br>2<br>2<br>2<br>2<br>swer per row<br>r issue<br>0<br>0   | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>Somewhat<br>25.0%<br>50.0%   | 1<br>1<br>0<br>0<br>1<br>1<br>1<br>0<br>f an issue<br>1<br>2  | 25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>Not an issue<br>50.0%   | 1<br>0<br>0<br>0<br>0<br>0   | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>Don't kr<br>0.0%  | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0                                    | 0.0%<br>0.0%<br>25.0%<br>0.0%<br>0.0%   | (<br>)<br>Answered<br>Dicable   | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 4<br>1 4<br>0 4  |                   |         |
| emplete necessary developme<br>omplete industry testing with<br>omplete necessary testing with<br>moleth recessary testing with<br>noothly transition to T+1 on N<br>noothly handle double settlem<br>ther (please specify)<br>6. How worried are you regation<br>sing able to report ~100% of a<br>sing able to transition to and u   | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024<br>Aonday, May 27, 2024?<br>nent date volumes (T+1/T+2 trades) on May 28, 202<br>rding the following industry challenges? (Please states the following industry challenges? (Please states trades by 3:59 a.m. on T+1 (pending CSA approval)<br>use an automated securities lending solution?   | Very cc<br>50.0%<br>75.0%<br>25.0%<br>50.0%<br>50.0%<br>elect one an<br>Majo<br>0.0%<br>0.0%                           | nfident<br>2<br>3<br>2<br>1<br>2<br>2<br>2<br>2<br>3<br>5<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9<br>9  | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>50.0%<br>50.0%<br>0.0%   | 1<br>1<br>0<br>1<br>1<br>0<br>f an issue<br>1<br>2<br>0   | 25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>Not an issue<br>50.0%<br>50.0%  | 1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>0.0%  | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0                | 0.0%<br>0.0%<br>25.0%<br>0.0%<br>0.0%<br>Vot app<br>25.0%<br>0.0%   | ()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>(             | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 4<br>0 4<br>2 4  |                   |         |
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| mplete necessary developme<br>mplete industry testing with<br>mplete necessary testing with<br>noothly transition to T+1 on N<br>woothly handle double settlern<br>her (please specify)<br>. How worried are you regar-<br>ing able to report ~100% of al-<br>ing able to confirm 90% of tra-<br>ing able to confirm 90% of tra-<br>ing able to transition to and u<br>we the ETF create/redeem pro-<br>able to settle trades denomin-<br>her (please specify)   | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024<br>Aonday, May 27, 2024?<br>ment date volumes (T+1/T+2 trades) on May 28, 202<br>rding the following industry challenges? (Please standard trades to CDS by 7:30 p.m. on T?<br>addes by 3:59 a.m. on T+1 (pending CSA approval)<br>use an automated securities lending solution?<br>ocess resolved?<br>nated in foreign currencies other than USD on T+1?   | Very cc<br>50.0%<br>75.0%<br>25.0%<br>50.0%<br>50.0%<br>50.0%<br>60.0%<br>0.0%<br>0.0%<br>0.0%                         | nnfident<br>2<br>3<br>2<br>1<br>1<br>2<br>2<br>2<br>5<br>swer per row<br>r issue<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0  | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>50.0%<br>50.0%<br>0.0%<br>25.0%  | 1<br>1<br>0<br>0<br>1<br>1<br>1<br>0<br>of an issue<br>1<br>2<br>0<br>0<br>0  | 25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%  | 1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2 | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>Don't kr<br>0.0%<br>0.0%<br>0.0%  | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | 0.0%<br>0.0%<br>25.0%<br>0.0%<br>0.0%<br>25.0%<br>0.0%<br>50.0%<br>50.0%<br>25.0%   | Answered  | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 4<br>2 4<br>2 4<br>1 4<br>1 0 0   |                   |         |
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| nplete necessary developme<br>mplete industry testing with<br>nplete necessary testing with<br>nplete necessary testing with<br>oothly transition to T+1 on N<br>oothly handle double settler<br>ter (please specify)<br><b>How worried are you rega</b><br>ng able to report ~100% of at<br>ng able to rensition to and u<br>ze the ETF create/redem pro-<br>able to settle trades denomine<br>ter (please specify)<br><b>How comfortable are you t</b><br>in frastructure, service proven<br>r counterparties in the indus   | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024<br>Aonday, May 27, 2024?<br>ment date volumes (T+1/T+2 trades) on May 28, 202<br>rding the following industry challenges? (Please so<br>illocated trades to CDS by 7:30 p.m. on T?<br>ades by 3:59 a.m. on T+1 (pending CSA approval)<br>use an automated securities lending solution?<br>occess resolved?<br>nated in foreign currencies other than USD on T+1?<br>that: (Please select one answer per row)<br>viders/vendors will smoothly handle the transition t  | Very cc<br>50.0%<br>75.0%<br>55.0%<br>25.0%<br>50.0%<br>50.0%<br>60.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0% | nfident<br>2<br>3<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2   | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%  | 1 1<br>1 1<br>0 0<br>0 1<br>1 1<br>1 1<br>1 2<br>0 0<br>0 1<br>1 1<br>2 2<br>0 0<br>0 1<br>1 2<br>2 2<br>2 2                                  | 25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%                                      | 1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2 | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>20.0%<br>0.0%<br>0.0% | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | 0.0%<br>0.0%<br>25.0%<br>50.0%<br>0.0%<br>0.0%<br>50.0%<br>50.0%<br>25.0%   | Answered  | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 4<br>1 4<br>2 4<br>1 4<br>1 4<br>2 4<br>1 4<br>1 4<br>0 4<br>2 4<br>1 4<br>0 4<br>2 4<br>1 0 4<br>2 4<br>1 0 4<br>2 4<br>1 0 4<br>0 4<br>1 0 4 1 0 4<br>1 0 4<br>1 0 4 1 0 4<br>1 0 4 1 0 4<br>1 0 4 1 0 4 1 0 4 1 0 4 1 0 4 1 0 4 1 0 4 1 0 4 1 0 4 1 0 4 1 0 4 1 0 1 0 |                   |         |
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| mplete necessary developme<br>mplete industry testing with<br>mplete necessary testing with<br>molete necessary testing with<br>isoothly transition to T+1 on N<br>isoothly handle double settler<br>her (please specify)<br><b>How worried are you rega</b><br>ing able to report ~100% of al<br>ing able to confirm 90% of tra<br>ing able to settle trades denomin<br>her (please specify)<br><b>How comfortable are you t</b><br>ur infrastructure, service prov<br>ur counterparties in the industry will s<br>her firms in the industry will s<br>her (please specify)<br><b>Lis there anything else – wh</b>  | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024<br>Aonday, May 27, 2024?<br>nent date volumes (T+1/T+2 trades) on May 28, 202<br>rding the following industry challenges? (Please standard trades to CDS by 7:30 p.m. on T?<br>ades by 3:59 a.m. on T+1 (pending CSA approval)<br>use an automated securities lending solution?<br>occess resolved?<br>nated in foreign currencies other than USD on T+1?<br>that: (Please select one answer per row)<br>viders/vendors will smoothly handle the transition to<br>tstry will smoothly handle the transition to T+1? (please<br>that the transition to T+1? (please the transition to T+1?) (please the transition to T+1?)  | Very cc<br>50.0%<br>75.0%<br>50.0%<br>22.50%<br>50.0%<br>50.0%<br>50.0%<br>0.0%<br>0.0%<br>0.0%<br>0.                  | swer per row           0           0           0           0           0           0           0           0           0           0           0           0           0           0           0           1           1           1           1           1           1           1           1           1           1           1           1   | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%   | 1<br>1<br>0<br>0<br>1<br>1<br>1<br>1<br>1<br>2<br>0<br>0<br>0<br>0<br>1<br>1<br>2<br>2<br>2<br>2  | 25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%  | 1<br>0<br>0<br>0<br>0<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2 | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%               | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | 0.0%<br>0.0%<br>25.0%<br>50.0%<br>0.0%<br>70.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>70.0%<br>0.0%<br>0.0%  | Answered  | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 4<br>1 4<br>2 4<br>2 4<br>2 4<br>1 4<br>1 4<br>0 4<br>2 4<br>2 4<br>1 4<br>0 0 4<br>0 4<br>0 0 4<br>0 0 4<br>0 0 4<br>0 0 4<br>0 0 4<br>1 0 4<br>0 0 4<br>1 0 0 0 4<br>1 0 0 4 0 0 4<br>1 0 0 4 0 0 4<br>1 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 0 4 0 0 0 4 0 0 0 4 0 0 0 4 0 0 0 0 4 0                        |                   |         |
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| mplete necessary developme<br>mplete industry testing with<br>mplete necessary testing with<br>industry testing with<br>isoothly transition to T+1 on N<br>oothly handle double settler<br>her (please specify)<br>How worried are you regar-<br>ing able to report ~100% of lai<br>ing able to confirm 90% of tra-<br>ing able to confirm 90% of tra-<br>ing able to transition to and u<br>we the ETF create/redeem pro-<br>able to settle trades denomin-<br>her (please specify)<br>How comfortable are you to<br>ur counterparties in the indust<br>her firms in the industry will sher<br>(please specify)   | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024<br>Aonday, May 27, 2024?<br>nent date volumes (T+1/T+2 trades) on May 28, 202<br>rding the following industry challenges? (Please selected trades to CDS by 7:30 p.m. on T?<br>ades by 3:59 a.m. on T+1 (pending CSA approval)<br>use an automated securities lending solution?<br>occess resolved?<br>nated in foreign currencies other than USD on T+1?<br>that: (Please select one answer per row)<br>viders/vendors will smoothly handle the transition to<br>tstry will smoothly handle the transition to T+1?<br>(please select one answer per row)<br>viders/vendors will smoothly handle the transition to T+1?<br>hether in your firm, other firms, or in the industry   | Very cc<br>50.0%<br>75.0%<br>22.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>0.0%<br>0.0%<br>0.                           | nfident<br>2<br>3<br>2<br>1<br>1<br>2<br>2<br>2<br>2<br>3<br>2<br>2<br>3<br>2<br>2<br>3<br>3<br>2<br>2<br>3<br>3<br>2<br>2<br>3<br>3<br>3<br>2<br>2<br>2<br>3<br>3<br>3<br>2<br>2<br>2<br>3<br>3<br>3<br>2<br>2<br>2<br>3<br>3<br>3<br>2<br>2<br>2<br>3<br>3<br>3<br>2<br>2<br>2<br>3<br>3<br>3<br>2<br>2<br>3<br>3<br>3<br>3<br>3<br>3<br>3<br>3<br>3<br>3<br>3<br>3<br>3   | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>50.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>25.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%   | 1<br>1<br>0<br>0<br>1<br>1<br>1<br>1<br>1<br>2<br>0<br>0<br>0<br>0<br>1<br>1<br>2<br>2<br>2<br>2  | 25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%   | 1<br>0<br>0<br>0<br>0<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2 | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%               | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | 0.0%<br>0.0%<br>25.0%<br>50.0%<br>0.0%<br>70.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>70.0%<br>0.0%<br>0.0%  | Answered  | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 4<br>1 4<br>2 4<br>2 4<br>2 4<br>1 4<br>1 4<br>0 4<br>2 4<br>2 4<br>1 4<br>0 0 4<br>0 4<br>0 0 4<br>0 0 4<br>0 0 4<br>0 0 4<br>0 0 4<br>1 0 4<br>0 0 4<br>1 0 0 0 4<br>1 0 0 4 0 0 4<br>1 0 0 4 0 0 4<br>1 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 0 4 0 0 0 4 0 0 0 4 0 0 0 4 0 0 0 0 4 0                        |                   |         |
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(Please standards)<br>addes by 3:59 a.m. on T+1 (pending CSA approval)<br>use an automated securities lending solution?<br>ocess resolved?<br>nated in foreign currencies other than USD on T+1?<br>that: (Please select one answer per row)<br>widers/vendors will smoothly handle the transition to<br>stry will smoothly handle the transition to T+1?<br>hether in your firm, other firms, or in the industry<br>Respondent ID  | Very cc<br>50.0%<br>75.0%<br>25.0%<br>25.0%<br>50.0%<br>50.0%<br>50.0%<br>0.0%<br>0.0%<br>0.0%<br>0.                   | antident         2           a         3           a         2           a         1           a         2           swer per row         0           o         0           o         0           o         0           o         0           o         0           an think of that         a Responses   | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>0.0%<br>0.0%<br>25.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%   | 1<br>1<br>0<br>0<br>0<br>1<br>1<br>2<br>0<br>0<br>0<br>1<br>1<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2                | 25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>25.0%<br>0.0%<br>ede a smooth trans | 1<br>0<br>0<br>0<br>0<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2 | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%               | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | 0.0%<br>0.0%<br>25.0%<br>50.0%<br>0.0%<br>70.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>70.0%<br>0.0%<br>0.0%  | Answered  | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 4<br>1 4<br>2 4<br>2 4<br>2 4<br>1 4<br>1 4<br>0 4<br>2 4<br>2 4<br>1 4<br>0 0 4<br>0 4<br>0 0 4<br>0 0 4<br>0 0 4<br>0 0 4<br>0 0 4<br>1 0 4<br>0 0 4<br>1 0 0 0 4<br>1 0 0 4 0 0 4<br>1 0 0 4 0 0 4<br>1 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 0 4 0 0 0 4 0 0 0 4 0 0 0 4 0 0 0 0 4 0                        |                   |         |
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(please<br>smoothly handle the transition to T+1?<br>hether in your firm, other firms, or in the industry<br>Respondent ID  | Very cc<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>60.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0% | nfident<br>2<br>3<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2   | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>50.0%<br>0.0%<br>0.0%<br>25.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%   | 1<br>1<br>0<br>0<br>0<br>1<br>1<br>1<br>2<br>0<br>0<br>0<br>0<br>0<br>0<br>1<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2 | 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%   | 1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2 | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%               | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | 0.0%<br>0.0%<br>25.0%<br>0.0%<br>0.0%<br>25.0%<br>0.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%          | Answered Dilcable Answered Dilcable Answered Dilcable C C C C C C C C C C C C C C C C C C C | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 4<br>1 4<br>1 4<br>1 4<br>2 4<br>2 4<br>2 4<br>2 4<br>1 4<br>1 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 0 4<br>1 4<br>0 4<br>0 0 4<br>1  |                   | d the r |
| applete necessary developme<br>piplete industry testing with<br>applete necessary testing with<br>piplete necessary testing with<br>oothy transition to T+1 on N<br>oothy handle double settlem<br>er (please specify)<br><b>How worried are you rega</b><br>ag able to report ~100% of al<br>ag able to confirm 90% of tra<br>ag able to confirm 90% of tra<br>ag able to confirm 90% of tra<br>ag able to transition to and u<br>e the ETF create/redeem pro-<br>bible to settle trades denomin<br>er (please specify)<br><b>How comfortable are you t</b><br>r infrastructure, service prov<br>er (please specify)<br><b>How comfortable are you t</b><br>er (please specify)<br><b>Is there anything else – wh</b><br>wered<br>362224692<br>359790043  | ent before December 31, 2023?<br>CDS between January 8 and April 30, 2024?<br>h Fundserv between January and April 30, 2024?<br>h DTCC by April 30, 2024<br>Aonday, May 27, 2024?<br>nent date volumes (T+1/T+2 trades) on May 28, 202<br>rding the following industry challenges? (Please standards by 3:59 a.m. on T+1 (pending CSA approval)<br>use an automated securities lending solution?<br>ocess resolved?<br>nated in foreign currencies other than USD on T+1?<br>that: (Please select one answer per row)<br>widers/vendors will smoothly handle the transition to<br>stry will smoothly handle the transition to T+1? (please<br>smoothly handle the transition to T+1?<br>hether in your firm, other firms, or in the industry<br>Respondent ID  | Very cc<br>50.0%<br>50.0%<br>225.0%<br>50.0%<br>50.0%<br>50.0%<br>0.0%<br>0.0%<br>0.0%<br>0.                           | antident           2           3           2           1           2           swer per row           rissue           0           1           1           1           1           1           1           1           1           1           1           1           1           1           1           1           1           1           1           1 <tr< td=""><td>25.0%<br/>25.0%<br/>0.0%<br/>25.0%<br/>25.0%<br/>3<br/>5<br/>5<br/>5<br/>5<br/>5<br/>5<br/>5<br/>5<br/>5<br/>5<br/>5<br/>5<br/>5</td><td>1<br/>1<br/>1<br/>0<br/>0<br/>0<br/>1<br/>1<br/>2<br/>0<br/>0<br/>0<br/>0<br/>1<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2</td><td>25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%</td><td>1<br/>0<br/>0<br/>0<br/>0<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2<br/>2</td><td>0.0%<br/>0.0%<br/>25.0%<br/>25.0%<br/>25.0%<br/>25.0%<br/>25.0%<br/>0.0%<br/>0.0%<br/>0.0%<br/>0.0%<br/>0.0%<br/>0.0%<br/>0.0%</td><td>0<br/>0<br/>1<br/>1<br/>1<br/>1<br/>1<br/>1<br/>1<br/>1<br/>1<br/>0<br/>0<br/>0<br/>0<br/>0<br/>0<br/>0<br/>0<br/>0</td><td>0.0%<br/>0.0%<br/>25.0%<br/>0.0%<br/>0.0%<br/>0.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%<br/>50.0%</td><td>Answered</td><td>0 4<br/>0 4<br/>1 4<br/>2 4<br/>0 4<br/>0 4<br/>0 4<br/>0 4<br/>0 4<br/>1 4<br/>0 4<br/>2 4<br/>2 4<br/>2 4<br/>1 4<br/>0 4<br/>2 4<br/>2 4<br/>1 4<br/>0 4<br/>0 4<br/>0 4<br/>0 4<br/>0 0<br/>4 0<br/>0 4<br/>0 0<br/>4 0<br/>0 4<br/>0 0<br/>4 0<br/>0 4<br/>0 0<br/>4 0<br/>0 4<br/>1 4<br/>4 0<br/>0 4<br/>1 4<br/>4 0<br/>0 4<br/>1 4<br/>4 0<br/>0 4<br/>1 4<br/>4 0<br/>0 0 4 0 0 0 4 0 0 0 0</td><td>Illenge is to fin</td><td></td></tr<> | 25.0%<br>25.0%<br>0.0%<br>25.0%<br>25.0%<br>3<br>5<br>5<br>5<br>5<br>5<br>5<br>5<br>5<br>5<br>5<br>5<br>5<br>5   | 1<br>1<br>1<br>0<br>0<br>0<br>1<br>1<br>2<br>0<br>0<br>0<br>0<br>1<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2           | 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%   | 1<br>0<br>0<br>0<br>0<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2<br>2 | 0.0%<br>0.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>25.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%<br>0.0%               | 0<br>0<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0 | 0.0%<br>0.0%<br>25.0%<br>0.0%<br>0.0%<br>0.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0%<br>50.0% | Answered  | 0 4<br>0 4<br>1 4<br>2 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 4<br>1 4<br>0 4<br>2 4<br>2 4<br>2 4<br>1 4<br>0 4<br>2 4<br>2 4<br>1 4<br>0 4<br>0 4<br>0 4<br>0 4<br>0 0<br>4 0<br>0 4<br>0 0<br>4 0<br>0 4<br>0 0<br>4 0<br>0 4<br>0 0<br>4 0<br>0 4<br>1 4<br>4 0<br>0 4<br>1 4<br>4 0<br>0 4<br>1 4<br>4 0<br>0 4<br>1 4<br>4 0<br>0 0 4 0 0 0 4 0 0 0 0   | Illenge is to fin |         |

| Infrastructure and Service Providers – CCMA T+1 Preparat   |  |   |  |  |  |  |  |   |   |  |   |                   |            |
|--|--|---|--|--|--|--|--|---|---|--|---|-------------------|------------|
| Q1. What size company best describes the company you work for? (Please sele  |  |   |  |  |  |  |  |   |   |  |   |                   |            |
| Answer Choices<br>/ery small (< 10 staff/FTEs)   | Response<br>18.2%  | es<br>2   |  |  |  |  |  |   |   |  |   |                   |            |
| mall (11-99 staff/FTEs)  | 9.1%   | 1   |  |  |  |  |  |   |   |  |   |                   |            |
| Aedium (100-499 employees/FTEs)  | 27.3%  | 3   |  |  |  |  |  |   |   |  |   |                   |            |
| arge (500+ employees/FTEs)   | 45.5%  | 5   |  |  |  |  |  |   |   |  |   |                   |            |
| Please elaborate if you wish.  | 45.576   | 0   |  |  |  |  |  |   |   |  |   |                   |            |
|  | Answered   | 11  |  |  |  |  |  |   |   |  |   |                   |            |
|  |  |   |  |  |  |  |  |   |   |  |   |                   |            |
| 2. What is the status of your T+1 development preparations? (Please select th  | e stage you are  | at and co   | omplete the co   | omment field   | l to elaborate o   | n your an  | swer, if require   | d)  |   |  |   |                   |            |
| Answer Choices   | Response   |   |  |  |  |  |  |   |   |  |   |                   |            |
| ust starting   | 9.1%   | 1   |  |  |  |  |  |   |   |  |   |                   |            |
| n analysis and business requirements phase   | 18.2%  | 2   |  |  |  |  |  |   |   |  |   |                   |            |
| completed analysis and business requirements phase   | 0.0%   | 0   |  |  |  |  |  |   |   |  |   |                   |            |
| n internal development phase   | 27.3%  | 3   |  |  |  |  |  |   |   |  |   |                   |            |
| ate in internal development phase  | 9.1%   | 1   |  |  |  |  |  |   |   |  |   |                   |            |
| Completed internal development phase   | 36.4%  | 4   |  |  |  |  |  |   |   |  |   |                   |            |
| Please elaborate if you wish.  | L  | 1   |  |  |  |  |  |   |   |  |   |                   |            |
|  | Answered   | 11  | _  |  |  |  |  |   |   |  |   |                   |            |
| Respondent ID  | Response Date  |   |  | No. do color   |  |  |  |   |   |  |   |                   |            |
| 14364708530  | Jul 11 2023 01   | We alrea  | dy support [+]   | . No develop   | oment required.  |  |  |   |   |  |   |                   |            |
| 2. What is the status of your Tul testing proparations? (Places colost or many   | ac apply at and  | complet   | a tha camman   | t field to elel  | horata an vour   | anguar i   | f poodod)  |   |   |  |   |                   |            |
| 23. What is the status of your T+1 testing preparations? (Please select as many<br>Answer Choices  | Response<br>Response   |   | c me commen  | there to erai  | ourate on your   | answer, I  | needeuj  |   |   |  |   |                   |            |
| n internal test planning phase   | 54.6%  | es 6  |  |  |  |  |  |   |   |  |   |                   |            |
| n external test planning phase   | 27.3%  | 3   |  |  |  |  |  |   |   |  |   |                   |            |
| n internal testing phase   | 9.1%   | 1   |  |  |  |  |  |   |   |  |   |                   |            |
| Completed internal development testing (UAT)   | 18.2%  | 2   |  |  |  |  |  |   |   |  |   |                   |            |
| Other (please specify, e.g., our firm is already T+1 compliant; no internal developn   |  | 1   |  |  |  |  |  |   |   |  |   |                   |            |
| Other (please specify)   |  | 2   |  |  |  |  |  |   |   |  |   |                   |            |
|  | Answered   | 11  |  |  |  |  |  |   |   |  |   |                   |            |
| Respondent ID  | Response Date(   | please s  | Tags   |  |  |  |  |   |   |  |   |                   |            |
| 114366363195   | Jul 13 2023 11   | in Dev Re   | eview  |  |  |  |  |   |   |  |   |                   |            |
| 114364708530   | Jul 11 2023 01   | External f  | testing windov   | vs communic  | ated to the indu   | stry for ea  | arly 2024.   |   |   |  |   |                   |            |
|  |  |   |  |  |  |  |  |   |   |  |   |                   |            |
| Q4. What is the status of your communication(s) with each of the following gro   |  |   | answer to eacl   | n question)  |  |  |  |   |   |  |   |                   |            |
|  | Not start  | ed  | In plar  | -  | Underw   |  |  | oleted  |   | know   | Not app   |                   | Total      |
| Downstream to financial firm clients/members/ participants?  | 9.1%   | 1   |  |  |  |  | 8 0.0%   |   |   | 0  |   | 0                 | 1          |
| Jpstream to service providers?   | 9.1%   | 1   |  |  |  |  | 5 9.1%   |   |   | 0  |   | 2                 |            |
| To institutional investors?  | 9.1%   | 1   |  |  |  |  | 3 0.0%   |   |   | 0  |   | 7                 | 1          |
| To retail investors?   | 9.1%   | 1   |  |  |  |  | 2 0.0%   |   |   | 0  |   | 8                 | 1          |
| To other parties?  | 9.1%   | 1   | 9.1%   | 1  | 36.4%  | 4  | 4 0.0%   | (   | 0.0%  | 0  | 45.5%   | 5                 | 1          |
| Other (please specify)   |  |   |  |  |  |  |  |   |   |  |   |                   |            |
|  |  |   |  |  |  |  |  |   |   |  |   | Answered          | 1          |
| OF How confident are you that your firm is an target to  |  |   |  |  |  |  |  |   |   |  |   |                   |            |
| Q5. How confident are you that your firm is on target to: (Please select one and the select one and th   | Very confic  | dont  | Somewhat   | confidant  | Not confi  | dont   | Don't  | know  | Notan   | plicable   | Total   |                   |            |
| Complete necessary development before December 31, 2023?   | 72.7%  | 8   |  |  | 9.1%   |  | 1 0.0%   |   |   | plicable<br>1  |   |                   |            |
| Complete industry testing with CDS between January 8 and April 30, 2024?   | 72.7%  | 8   |  |  | 0.0%   |  | 0.0%   |   |   | 2  |   |                   |            |
| Complete necessary testing with Fundserv between January and April 30, 2024?   | 36.4%  | 4   |  |  |  |  | 0 0.0%   |   |   |  |   |                   |            |
| Complete necessary testing with DTCC by April 30, 2024   | 45.5%  | 5   |  |  |  |  | 0 0.0%   |   |   |  |   |                   |            |
| Smoothly transition to T+1 on Monday, May 27, 2024?  | 72.7%  | 8   |  |  |  |  | 0 9.1%   |   |   | 0  |   |                   |            |
|  |  |   |  |  | 0.0%   |  |  |   | 0.0%  |  |   |                   |            |
| Smoothly handle double settlement date volumes (T+1/T+2 trades) on May 28, 20  |  |   |  | 1  |  | (  | 0.0%   | (   |   | 0  | 11  |                   |            |
|  |  | 10  |  | 1  |  | (  | 0 0.0%   | (   |   | 0  | 11<br>0   |                   |            |
|  |  |   |  | 1  |  | (  | 0 0.0%   | (   |   | 0<br>Answered  |   |                   |            |
|  |  |   |  | 1  |  | (  | 0 0.0%   | (   |   |  | 0   |                   |            |
| Other (please specify)   | 0: 90.9%   | 10  | 9.1%   | 1  |  | (  | 0 0.0%   |   | 0.0%  | Answered   | 0   |                   |            |
| Other (please specify)<br>26. How worried are you regarding the following industry challenges? (Please   | 0: 90.9%   | 10<br>ver per ro  | 9.1%   |  |  |  |  | know  | 0.0%  |  | 0   |                   |            |
| Dther (please specify)<br>26. How worried are you regarding the following industry challenges? (Please<br>Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?   | 5: 90.9%<br>select one answ<br>Major iss<br>18.2%  | 10<br>ver per ro<br>sue<br>2  | 9.1%<br><b>ow)</b><br>Somewhat (<br>0.0%   | of an issue<br>0   | 0.0%<br>Not an is<br>54.55%  | ssue   | Don't<br>6 0.0%  | know  | 0 0.0%<br>Not ap<br>0 27.3%   | Answered plicable 3  | 0<br>11<br>Total<br>11  |                   |            |
| Dther (please specify)         26. How worried are you regarding the following industry challenges? (Please         Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?         Seing able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)  | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%  | 10<br>wer per ro  | 9.1%<br>ow)<br>Somewhat (<br>0.0%<br>9.1%  | of an issue<br>0<br>1  | 0.0%<br>Not an is<br>54.55%<br>45.45%  | isue<br>(  | Don'i<br>6 0.0%<br>5 0.0%  | know<br>(   | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%  | Answered<br>plicable<br>3<br>4   | 0<br>11<br>Total<br>11  |                   |            |
| Dther (please specify)<br>26. How worried are you regarding the following industry challenges? (Please<br>Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?<br>seing able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)<br>Being able to transition to and use an automated securities lending solution?  | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%  | 10<br>wer per ro<br>sue<br>2<br>1<br>0  | 9.1%<br>ow)<br>Somewhat<br>0.0%<br>9.1%<br>9.1%  | of an issue<br>0<br>1<br>1   | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%  | ssue<br>I  | Don'1<br>6 0.0%<br>5 0.0%<br>2 9.1%  | know<br>(   | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%  | Answered<br>plicable<br>3<br>4<br>7  | 0<br>11<br>Total<br>11<br>11<br>11  |                   |            |
| Dther (please specify)<br>26. How worried are you regarding the following industry challenges? (Please<br>Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?<br>Being able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)<br>being able to transition to and use an automated securities lending solution?<br>Have the ETF create/redeem process resolved?  | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>0.0%  | 10<br>wer per ro<br>sue<br>2<br>1<br>0<br>0   | 9.1%<br><b>Somewhat</b><br>0.0%<br>9.1%<br>9.1%<br>9.1%  | of an issue<br>0<br>1<br>1<br>1  | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%  | ssue<br>I  | Don'1<br>6 0.0%<br>5 0.0%<br>2 9.1%<br>2 0.0%  | know<br>(<br>(  | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%<br>1 63.6%<br>0 72.7%  | Answered<br>plicable<br>3<br>4<br>7<br>8   | 0<br>11<br>Total<br>11<br>11<br>11  |                   |            |
| Dther (please specify)<br><b>26. How worried are you regarding the following industry challenges? (Please</b><br>Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?<br>Being able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)<br>Being able to transition to and use an automated securities lending solution?<br>Have the ETF create/redeem process resolved?<br>Be able to settle trades denominated in foreign currencies other than USD on T+1?  | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>0.0%  | 10<br>wer per ro<br>sue<br>2<br>1<br>0  | 9.1%<br><b>Somewhat</b><br>0.0%<br>9.1%<br>9.1%<br>9.1%  | of an issue<br>0<br>1<br>1<br>1  | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%<br>18.18%  | ssue<br>I  | Don'1<br>6 0.0%<br>5 0.0%<br>2 9.1%  | know<br>(<br>(  | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%<br>1 63.6%<br>0 72.7%  | Answered<br>plicable<br>3<br>4<br>7<br>8   | 0<br>11<br>Total<br>11<br>11<br>11<br>11  |                   |            |
| 26. How worried are you regarding the following industry challenges? (Please         Seing able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?         seing able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)         seing able to transition to and use an automated securities lending solution?         ave the FTF create/redeem process resolved?         Se able to settle trades denominated in foreign currencies other than USD on T+1?   | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>0.0%  | 10<br>wer per ro<br>sue<br>2<br>1<br>0<br>0   | 9.1%<br><b>Somewhat</b><br>0.0%<br>9.1%<br>9.1%<br>9.1%  | of an issue<br>0<br>1<br>1<br>1  | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%  | ssue<br>I  | Don'1<br>6 0.0%<br>5 0.0%<br>2 9.1%<br>2 0.0%  | know<br>(<br>(  | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%<br>1 63.6%<br>0 72.7%  | Answered<br>plicable<br>3<br>4<br>7<br>8<br>6  | Total<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>0                              |                   |            |
| Dther (please specify)<br>Q6. How worried are you regarding the following industry challenges? (Please<br>Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?<br>Being able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)<br>Being able to transition to and use an automated securities lending solution?<br>Have the ETF create/redeem process resolved?<br>Be able to settle trades denominated in foreign currencies other than USD on T+1?   | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>0.0%  | 10<br>wer per ro<br>sue<br>2<br>1<br>0<br>0   | 9.1%<br><b>Somewhat</b><br>0.0%<br>9.1%<br>9.1%<br>9.1%  | of an issue<br>0<br>1<br>1<br>1  | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%  | ssue<br>I  | Don'1<br>6 0.0%<br>5 0.0%<br>2 9.1%<br>2 0.0%  | know<br>(<br>(  | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%<br>1 63.6%<br>0 72.7%  | Answered<br>plicable<br>3<br>4<br>7<br>8   | 0<br>11<br>Total<br>11<br>11<br>11<br>11  |                   |            |
| Smoothly handle double settlement date volumes (T+1/T+2 trades) on May 28, 20<br>Other (please specify)<br>Q6. How worried are you regarding the following industry challenges? (Please<br>Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?<br>Being able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)<br>Being able to transition to and use an automated securities lending solution?<br>Have the ETF create/redeem process resolved?<br>Be able to settle trades denominated in foreign currencies other than USD on T+1:<br>Other (please specify)  | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>0.0%  | 10<br>wer per ro<br>sue<br>2<br>1<br>0<br>0   | 9.1%<br><b>Somewhat</b><br>0.0%<br>9.1%<br>9.1%<br>9.1%  | of an issue<br>0<br>1<br>1<br>1  | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%  | ssue<br>I  | Don'1<br>6 0.0%<br>5 0.0%<br>2 9.1%<br>2 0.0%  | know<br>(<br>(  | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%<br>1 63.6%<br>0 72.7%  | Answered<br>plicable<br>3<br>4<br>7<br>8<br>6  | Total<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>0                              |                   |            |
| Dther (please specify)<br>Q6. How worried are you regarding the following industry challenges? (Please<br>Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?<br>Being able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)<br>Being able to transition to and use an automated securities lending solution?<br>Have the ETF create/redeem process resolved?<br>Be able to settle trades denominated in foreign currencies other than USD on T+1?   | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>0.0%<br>? 9.1%  | 10<br>ver per ro<br>uue<br>2<br>1<br>0<br>0<br>0<br>1   | 9.1%<br>Somewhat<br>0.0%<br>9.1%<br>9.1%<br>0.0%   | of an issue<br>0<br>1<br>1<br>1<br>0   | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%<br>36.36%  | ssue<br>1  | Don'1<br>6 0.0%<br>5 0.0%<br>2 9.1%<br>2 0.0%  | know ((   | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%<br>0 72.7%<br>0 54.6%  | Answered<br>plicable<br>3<br>4<br>7<br>8<br>6<br>Answered  | 0<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>0<br>11                                  |                   |            |
| Dther (please specify)<br>26. How worried are you regarding the following industry challenges? (Please<br>Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?<br>Being able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)<br>Being able to transition to and use an automated securities lending solution?<br>Have the ETF create/redeem process resolved?<br>Be able to settle trades denominated in foreign currencies other than USD on T+1:<br>ther (please specify)<br>27. How comfortable are you that: (Please select one answer per row)  | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>? 9.1%<br>Very comfor   | 10<br>ver per ro<br>ue<br>2<br>1<br>0<br>0<br>1<br>1<br>rtable  | 9.1%<br>Somewhat (<br>0.0%<br>9.1%<br>9.1%<br>0.0%<br>Somewhat c   | of an issue<br>0<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0   | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%<br>36.36%  | rtable   | Don'1<br>6 0.0%<br>5 0.0%<br>2 9.1%<br>2 0.0%<br>4 0.0%  | know<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()                  | Not ap<br>0 27.3%<br>0 36.4%<br>1 63.6%<br>72.7%<br>0 54.6%   | Answered<br>3<br>4<br>7<br>8<br>6<br>Answered  | 0<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>0<br>0<br>11                             |                   |            |
| Other (please specify)         26. How worried are you regarding the following industry challenges? (Please         Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?         seing able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)         Being able to transition to and use an automated securities lending solution?         Have the ETF create/redeem process resolved?         Be able to settle trades denominated in foreign currencies other than USD on T+1:         Other (please specify)         Q7. How comfortable are you that: (Please select one answer per row)         Your infrastructure, service providers/vendors will smoothly handle the transition  | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>0.0%<br>? 9.1%<br>Very comfor<br>t 45.5%  | 10<br>ver per ro<br>ue<br>2<br>1<br>0<br>0<br>0<br>1<br>1<br>rtable<br>5  | 9.1%<br>Somewhat<br>9.1%<br>9.1%<br>9.1%<br>0.0%<br>Somewhat c<br>36.4%  | of an issue<br>0<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>mfortable<br>4  | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%<br>36.36%<br>Not comfo<br>0.0%   | rtable   | Don'1<br>5 0.0%<br>5 0.0%<br>2 9.1%<br>2 0.0%<br>4 0.0%  | know ((   | Not ap<br>0 27.3%<br>0 36.4%<br>0 72.7%<br>0 54.6%  | Answered<br>plicable<br>3<br>4<br>7<br>8<br>6<br>6<br>Answered<br>plicable<br>2  | 0<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>0<br>11<br>11<br>Total<br>11             |                   |            |
| Dther (please specify)<br>26. How worried are you regarding the following industry challenges? (Please<br>Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?<br>Being able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)<br>Being able to transition to and use an automated securities lending solution?<br>Have the ETF create/redeem process resolved?<br>Be able to settle trades denominated in foreign currencies other than USD on T+1:<br>Dther (please specify)<br>27. How comfortable are you that: (Please select one answer per row)<br>Your infrastructure, service providers/vendors will smoothly handle the transition<br>four counterparties in the industry will smoothly handle the transition to T+1? (ple   | 2: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>? 9.1%<br>Very comfor<br>t 45.5%<br>e 27.3%   | 10<br>ver per ro<br>ue<br>2<br>1<br>0<br>0<br>1<br>1<br>rtable  | 9.1%<br>Somewhat<br>9.1%<br>9.1%<br>9.1%<br>0.0%<br>Somewhat c<br>36.4%  | of an issue<br>0<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0   | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%<br>36.36%<br>Not comfo<br>0.0%<br>9.1%   | rtable   | Don'1<br>6 0.0%<br>5 0.0%<br>2 9.1%<br>2 0.0%<br>4 0.0%  | know ()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>(                | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%<br>63.6%<br>0 72.7%<br>0 54.6%   | Answered<br>plicable<br>3<br>4<br>7<br>8<br>6<br>Answered<br>plicable<br>2<br>2  | 0<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>0<br>11<br>11<br>Total<br>11             |                   |            |
| Other (please specify)         26. How worried are you regarding the following industry challenges? (Please         Being able to report ~100% of allocated trades to CDS by 7:30 p.m. on T?         being able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval)         Being able to transition to and use an automated securities lending solution?         Have the ETF create/redeem process resolved?         Be able to settle trades denominated in foreign currencies other than USD on T+1:         Other (please specify)         27. How comfortable are you that: (Please select one answer per row)         Your infrastructure, service providers/vendors will smoothly handle the transition to T+1? (pl.         Other firms in the industry will smoothly handle the transition to T+1? (pl.  | 0: 90.9%<br>select one answ<br>Major iss<br>18.2%<br>9.1%<br>0.0%<br>0.0%<br>? 9.1%<br>Very comfor<br>t 45.5%  | 10<br>ver per ro<br>sue<br>2<br>1<br>0<br>0<br>1<br>1<br>rtable<br>5<br>3   | 9.1%<br>Somewhat<br>0.0%<br>9.1%<br>9.1%<br>0.0%<br>Somewhat c<br>36.4%<br>27.3%   | of an issue<br>0<br>1<br>1<br>1<br>1<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0<br>0   | 0.0%<br>Not an is<br>54.55%<br>45.45%<br>18.18%<br>36.36%<br>Not comfo<br>0.0%<br>9.1%   | rtable   | Don'1<br>6 0.0%<br>2 9.1%<br>2 0.0%<br>4 0.0%<br>4 0.0%<br>1 18.2%   | know ()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>()<br>(                | 0 0.0%<br>Not ap<br>0 27.3%<br>0 36.4%<br>63.6%<br>0 72.7%<br>0 54.6%   | Answered<br>plicable<br>3<br>4<br>7<br>8<br>6<br>Answered<br>plicable<br>2<br>2<br>2   | 0<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>11<br>0<br>11<br>Total<br>11             |                   |            |
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