

Join Zoom Meeting

https://us02web.zoom.us/j/86114133771?pwd=YVUzZVUyUS8xQkF4NDFkQ0RKRTd2UT09

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.	 Draft minutes of May 9 CEWG Meeting (Attachment 1) i. Review/approve ii. Review matters arising from minutes 	Members
iii.	 New T+1 news/information i. Member/association updates ii. Canadian update iii. U.S. update iv. International news v. Events/articles/other communications and education updates 	Members/CCMA Members Staff Staff Members/Staff Staff
iv.	For review, amendment, approval i. Draft newsletter <i>(Attachment 2)</i>	Members
i.	 For discussion i. Messaging to issuers and legal advisors re corporate actions/entitlements and ex dates ii. Preliminary survey results (<i>Attachment 3</i>) 	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.	 Comment on new 'portal' T+1 landing page 	Members	ASAP when
	 Comment on draft year-to-go release when circulated 	Members	
	 Comment on draft T+1 newsletter when circulated 	Members	issued
3.	Draft announcement tied to May 27	BA/YD/AD	ASAP
	 Confirm if associations disagree with being listed 	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.

MA Canadian Ca Markets Asso

СМС

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, assignments, and futures tenders (equity, ETF, and fixed- income) are processed by CDCC with a T+2 settlement date. Note: BTCC – Purpose Bitcoin ETF – currently settle and will remain on a T+1 settlement cycle.	 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. CDCC will publish minor rule changes for comment (target: October 26, 2023) and make systems configuration changes over the May 25/26, 2024 weekend. 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).

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) ledium (100-499 employees/FTEs)	15.4% 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%													
 analysis and business requirements phase ompleted analysis and business requirements phase 	38.5% 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 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 Answer Choices	rations? (Pl 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 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% I 0.0%					
pstream to service providers? 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, moothly transition to T+1 on Monday, May 27, 2024						0			0 7.7% 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 issue	Somewhat of			,	Don't k	0014/	Not applic	ablo	Total			
eing able to report ~100% of allocated trades to CE						sue 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 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 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 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 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 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? Answer Choices		ct one answe 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 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 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 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 Answer Choices		ply at and con 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 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 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 tarted		each questio 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? 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											
.			onfident		t confident		onfident		know		plicable	Total		
	opment before December 31, 2023? vith CDS between January 8 and April 30, 2024	20.0%						0 10.0% 1 0.0%		1 10.0% 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 0	Total		
Being able to report ~100%	regarding the following industry challenge of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ap	Major 10.00%	issue 1	Somewhat 40.00%	of an issue 4	40.00%	4	Don't 4 10.00% 3 10.00%		Not ap 1 0.00% 1 0.00%	0	10		
Being able to report ~100% Being able to confirm 90% Being able to transition to a	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ap ind use an automated securities lending solution	Major 10.00% 10.00% 0.00%	issue 1 1 0	Somewhat 40.00% 50.00% 40.00%	of an issue 4 5 4	40.00% 30.00% 0.00%		4 10.00% 3 10.00% 0 20.00%		1 0.00% 1 0.00% 2 40.00%	0 0 4	10 10 10		
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ar nd use an automated securities lending solutio m process resolved?	Major 10.00% 10.00% 0.00% 0.00%	issue 1 1 0 0	Somewhat 40.00% 50.00% 40.00% 20.00%	of an issue 4 5 4 2	40.00% 30.00% 0.00% 0.00%		4 10.00% 3 10.00% 0 20.00% 0 20.00%		1 0.00% 1 0.00% 2 40.00% 2 60.00%	0 0 4 6	10 10 10 10		
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ap ind use an automated securities lending solution	Major 10.00% 10.00% 0.00% 0.00%	issue 1 1 0 0	Somewhat 40.00% 50.00% 40.00% 20.00%	of an issue 4 5 4 2	40.00% 30.00% 0.00% 0.00%		4 10.00% 3 10.00% 0 20.00%		1 0.00% 1 0.00% 2 40.00%	0 0 4 6	10 10 10 10		
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ar nd use an automated securities lending solutio m process resolved?	Major 10.00% 10.00% 0.00% 0.00%	issue 1 1 0 0	Somewhat 40.00% 50.00% 40.00% 20.00%	of an issue 4 5 4 2	40.00% 30.00% 0.00% 0.00%		4 10.00% 3 10.00% 0 20.00% 0 20.00%		1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00%	0 0 4 6	10 10 10 10 10 10		
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ap nd use an automated securities lending solution m process resolved? nominated in foreign currencies other than USD	Major 10.00% 0.00% 0.00% 20.00%	rissue 1 1 0 0 2	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00%	of an issue 4 5 4 2	40.00% 30.00% 0.00% 0.00%		4 10.00% 3 10.00% 0 20.00% 0 20.00%		1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00%	0 0 4 6 1	10 10 10 10 10 10 10		
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ar nd use an automated securities lending solutio m process resolved?	Major 10.00% 0.00% 0.00% 20.00%	r issue 1 1 0 0 2 2 br (please spec	Somewhat 40.00% 50.00% 40.00% 20.00% 7ags	of an issue 4 5 4 2 2	40.00% 30.00% 0.00% 10.00%		4 10.00% 3 10.00% 0 20.00% 0 20.00% 1 40.00%		1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00%	0 0 4 6 1 Answered	10 10 10 10 10 10 10		For the FT
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify)	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ap nd use an automated securities lending solution m process resolved? nominated in foreign currencies other than USD	Major 10.00% 0.00% 0.00% 20.00% 20.00%	r issue 1 1 0 0 2 2 er (please spe We are confi	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we	of an issue 4 5 4 2 2 2 will deliver ar	40.00% 30.00% 0.00% 10.00%	securities len	4 10.00% 3 10.00% 0 20.00% 0 20.00%	The lack of	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00%	0 0 4 6 1 Answered	10 10 10 10 10 10 10 10 10 5) creates an	impediment.	
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify)	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ap nd use an automated securities lending solution m process resolved? nominated in foreign currencies other than USD	Major 10.00% 0.00% 0.00% 20.00% 20.00%	r issue 1 1 0 0 2 2 er (please spe We are confi	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we	of an issue 4 5 4 2 2 2 will deliver ar	40.00% 30.00% 0.00% 10.00%	securities len	4 10.00% 3 10.00% 0 20.00% 0 20.00% 1 40.00% ding solution.	The lack of	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00%	0 0 4 6 1 Answered	10 10 10 10 10 10 10 10 10 5) creates an	impediment.	
Being able to report ~100% Being able to confirm 90% of Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ap nd use an automated securities lending solution m process resolved? nominated in foreign currencies other than USD	Major 10.00% 0.00% 0.00% 20.00% 20.00% 20.00%	r issue 1 1 0 0 2 2 we reconfi create / rede	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process w	of an issue 4 5 4 2 2 will deliver ar we would like	40.00% 30.00% 0.00% 10.00%	securities len er industry s	4 10.00% 3 10.00% 0 20.00% 0 20.00% 1 40.00% ding solution. olution to utiliz	The lack of e CNS capa	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% total functiona bilities of the 0	0 0 4 6 1 Answered lity (ie recalls CSD and casl	10 10 10 10 10 10 10 10 10 10 10 10 10 1	impediment.	
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA a nd use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per	Major 10.00% 0.00% 20% 20.00%	r issue 1 1 0 0 0 2 2 We are confi (create / rede	Somewhat 40.00% 50.00% 40.00% 20.00% Z0.00% Tags dent that we em process v Somewhat	of an issue 4 5 4 2 2 2 will deliver ar we would like comfortable	40.00% 30.00% 0.00% 10.00% n automated s to see a bette Not con	securities len er industry se	4 10.00% 3 10.00% 0 20.00% 0 20.00% 1 40.00% dding solution. olution to utiliz	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% total functional bilities of the C	0 0 4 6 1 Answered lity (ie recalls CSD and cash	10 10 10 10 10 10 10 10 10 10 10 10 10 1	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% of Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service	of allocated trades to CDS by 7:30 p.m. on T7 of trades by 3:59 a.m. on T+1 (pending CSA a nd use an automated securities lending solution m process resolved? mominated in foreign currencies other than USD Respondent ID	Major 10.00% 0.00% 20.00% 20.00% 20.00% 20.00% Very cor 20.00%	r issue 1 1 0 0 2 ver (please spe We are confi (create / rede mfortable 2	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00%	of an issue 4 5 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00% n automated s to see a betto Not con 20.00%	securities len er industry se	4 10.00% 3 10.00% 0 20.00% 0 20.00% 1 40.00% ding solution. olution to utiliz	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% total functiona bilities of the 0	0 0 4 6 1 1 Answered lity (ie recalls CSD and cash plicable 0	10 10 10 10 10 10 10 10 10 10 10 10 5) creates an h collaterals for Total 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your conterparties in the i Other firms in the industry of	of allocated trades to CDS by 7:30 p.m. on T? f trades by 3:59 a.m. on T+1 (pending CSA a nd use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the tran	Major 10.00% 0.00% 20.00% 20.00% 20.00% 20.00% Very cor 20.00%	issue 1 1 0 0 0 2 ver (please spe We are confi create / rede mfortable 2 0	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00%	of an issue 4 5 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00% 10.00% 10.00% 10.00% Not con 20.00% 30.00%	securities len er industry si	4 10.00% 3 10.00% 0 20.00% 0 20.00% 1 40.00% ding solution. olution to utiliz Don't 2 0.00%	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% total functional bilities of the C Not ap 0 0.00%	0 0 4 6 1 1 Answered lifty (ie recalls CSD and cash DSD and cash plicable 0 0	10 10 10 10 10 10 10 10 10 5) creates an h collaterals fr h collaterals fr 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the tran industry will smoothly handle the transition to T	Major 10.00% 20.00% 0.00% 20.00% 20.00% 20.00% Very cor 20.00% 0.00%	issue 1 1 0 0 0 2 ver (please spe We are confi create / rede mfortable 2 0	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we erm process w Somewhat 60.00% 70.00%	of an issue 4 5 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00% 10.00%	securities len er industry si	4 10.00% 3 10.00% 0 20.00% 1 40.00% ding solution. olution to utiliz Don't 2 0.00% 3 0.00%	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 5 60.00% 5 60.00% 6 7 60.00% 6 7 60.00% 6 7 60.00% 7 7 60.00% 7 7 7 60.00% 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7	0 0 4 6 1 1 Answered lity (ie recalls) CSD and cast CSD and cast plicable 0 0 0	10 10 10 10 10 10 10 10 10 5) creates an 1 h collaterals fr Total 10 10 10 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your conterparties in the i Other firms in the industry of	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the tran industry will smoothly handle the transition to T	Major 10.00% 0.00% 0.00% 20.00% 20.00% 20.00% 20.00%	issue 1 1 0 0 0 2 ver (please spe We are confi create / rede mfortable 2 0	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process to 60.00% 70.00% 60.00%	of an issue 4 5 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00% 10.00%	securities len er industry si	4 10.00% 3 10.00% 0 20.00% 1 40.00% ding solution. olution to utiliz Don't 2 0.00% 3 0.00%	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 4 10.00% 5 0.00% 0 0.00% 0 0.00%	0 0 4 6 1 1 Answered lity (ie recalls SSD and cash DSD and cash plicable 0 0	10 10 10 10 10 10 10 10 10 5) creates an h collaterals fr h collaterals fr 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry v Other (please specify)	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the tran industry will smoothly handle the transition to T vill smoothly handle the transition to T+1?	Major 10.00% 10.00% 0.00% 0.00% 20.00% 20.00% 20.00% Very cor 20.00% 0.00% 0.00% 20.00% 1	r issue 1 0 0 2 br (please spe We are confi create / rede mfortable 2 0 0 0 br (please spe (defined count	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (sec	of an issue 4 5 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00% 10.00% automated s to see a bett Not con 20.00% 30.00%	securities len er industry si	4 10.00% 3 10.00% 0 20.00% 1 40.00% ding solution. olution to utiliz Don't 2 0.00% 3 0.00%	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 4 10.00% 5 0.00% 0 0.00% 0 0.00%	0 0 4 6 1 1 Answered lity (ie recalls) CSD and cast CSD and cast plicable 0 0 0	10 10 10 10 10 10 10 10 10 5) creates an 1 h collaterals fr Total 10 10 10 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% i Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry v Other (please specify) 114365588986	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the tran industry will smoothly handle the transition to T vill smoothly handle the transition to T+1?	Major 10.00% 10.00% 0.00% 0.00% 20.00% 20.00% 20.00% Very cor 20.00% 0.00% 0.00% 20.00% 1	issue 1 1 0 0 2 br (please spe We are confi (reate / rede mfortable 2 0 0 0 br (please spe br (please spe br (please spe br (please spe) br (Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (sec	of an issue 4 5 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00% 10.00% automated s to see a bett Not con 20.00% 30.00%	securities len er industry si	4 10.00% 3 10.00% 0 20.00% 1 40.00% 1 40.00% 1 40.00% 1 20.00% 1 0.00% 1 0.00%	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 4 10.00% 5 0.00% 0 0.00% 0 0.00%	0 0 4 6 1 1 Answered lity (ie recalls) CSD and cast CSD and cast plicable 0 0 0	10 10 10 10 10 10 10 10 10 5) creates an 1 h collaterals fr Total 10 10 10 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry to Other (please specify) 114365588986 114357319780	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the tran dustry will smoothly handle the transition to T+1? Respondent ID	Major 10.00% 0.00% 0.00% 20.0%	issue 1 1 0 0 2 br (please spe We are confi create / rede mfortable 2 0 0 0 0 br (please spe defined coun Our custodia	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 60.00% Tags terparties (se n clearly nee	of an issue 4 5 4 4 2 2 2 2 2 2 2 2 2 2 2 3 4 5 6 6 7 6 6 7 6 8 8 8 8 8 1 8 1 8 1 8 1 8 1 8 1 8 1 8	40.00% 30.00% 0.00% 10.00% 10.00% 10.00%	securities len er industry so mfortable	4 10.00% 3 10.00% 0 20.00% 1 40.00% 1 40.00% 1 40.00% 1 40.00% 2 0.00% 3 0.00% 3 10.00% Canadian brok	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 4 10.00% 5 0.00% 0 0.00% 1 0.00%	0 0 4 6 1 1 Answered lity (ie recalls SD and cash SD and cash plicable 0 0 0 0 0 0 0	a) 10 10 10 10 10 10 10 10 10 10 5) creates an h collaterals for Total 10 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry Other (please specify) 114365588986 114357319780 Q8. Is there anything else	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the tran industry will smoothly handle the transition to T vill smoothly handle the transition to T+1?	Major 10.00% 0.00% 0.00% 20.0%	issue 1 1 0 0 2 br (please spe We are confi (create / rede mfortable 2 0 0 0 0 br (please spe (defined coun Our custodia - that you ca	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 60.00% Tags terparties (se n clearly nee	of an issue 4 5 4 4 2 2 2 2 2 2 2 2 2 2 2 3 4 5 6 6 7 6 6 7 6 8 8 8 8 8 1 8 1 8 1 8 1 8 1 8 1 8 1 8	40.00% 30.00% 0.00% 10.00% 10.00% 10.00%	securities len er industry so mfortable	4 10.00% 3 10.00% 0 20.00% 1 40.00% 1 40.00% 1 40.00% 1 40.00% 2 0.00% 3 0.00% 3 10.00% Canadian brok	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 4 10.00% 5 0.00% 0 0.00% 1 0.00%	0 0 4 6 1 1 Answered lity (ie recalls SD and cash SD and cash plicable 0 0 0 0 0 0 0	a) 10 10 10 10 10 10 10 10 10 10 5) creates an h collaterals for Total 10 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% Being able to confirm 90% Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry v Other (please specify) 114365588986 114357319780 Q8. Is there anything else Answered	of allocated trades to CDS by 7:30 p.m. on T7 of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the transition to T vill smoothly handle the transition to T+1? Respondent ID e - whether in your firm, other firms, or in t	Major 10.00% 0.00% 0.00% 20.0%	issue 1 1 0 0 2 We are confi create / rede mfortable 2 0 0 0 br (please spe defined coun Our custodia - that you ca	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process we Somewhat 60.00% 70.00% 60.00% Tags terparties (set n clearly nee n clearly nee	of an issue 4 5 4 4 2 2 2 2 2 2 2 2 2 2 2 3 4 5 6 6 7 6 6 7 6 8 8 8 8 8 1 8 1 8 1 8 1 8 1 8 1 8 1 8	40.00% 30.00% 0.00% 10.00% 10.00% 10.00%	securities len er industry so mfortable	4 10.00% 3 10.00% 0 20.00% 1 40.00% 1 40.00% 1 40.00% 1 40.00% 2 0.00% 3 0.00% 3 10.00% Canadian brok	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 4 10.00% 5 0.00% 0 0.00% 1 0.00%	0 0 4 6 1 1 Answered lity (ie recalls SD and cash SD and cash plicable 0 0 0 0 0 0 0	a) 10 10 10 10 10 10 10 10 10 10 5) creates an h collaterals for Total 10 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry to Other (please specify) 114365588986 114357319780 Q8. Is there anything else Answered Skipped	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the tran dustry will smoothly handle the transition to T+1? Respondent ID	Major 10.00% 0.00%	issue 1 1 0 0 2 br (please spe We are confi (reate / rede mfortable 2 0 0 0 0 br (please spe (rede mfortable 2 0 0 0 0 create / rede mfortable 2 0 0 0 0 0 0 0 0 0 0 0 0 0	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (se n clearly nee n think of th Tags	of an issue 4 5 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 3 2 3 2	40.00% 30.00% 0.00% 10.00% 10.00% 10.00%	securities len er industry so mfortable	4 10.00% 3 10.00% 0 20.00% 1 40.00% 1 40.00% 1 40.00% 1 40.00% 2 0.00% 3 0.00% 3 10.00% Canadian brok	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 4 10.00% 5 0.00% 0 0.00% 1 0.00%	0 0 4 6 1 1 Answered lity (ie recalls SD and cash SD and cash plicable 0 0 0 0 0 0 0	a) 10 10 10 10 10 10 10 10 10 10 5) creates an h collaterals for Total 10 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% d Being able to confirm 90% d Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other (ms in the industry v Other (please specify) 114365588986 114357319780 Q8. Is there anything else Answered Skipped 114365588986	of allocated trades to CDS by 7:30 p.m. on T7 of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the transition to T vill smoothly handle the transition to T+1? Respondent ID e - whether in your firm, other firms, or in t	Major 10.00% 10.00% 0.00% 0.00% 2	issue 1 1 0 0 2 br (please spe We are confi create / rede We are confi create / rede 2 0 0 0 br (please spe (defined coun Our custodia - that you ca (Guidance is is	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 60.00% Tags terparties (se n clearly nee n clearly nee n think of th Tags required on N	of an issue 4 5 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00%	nfortable	4 10.00% 3 10.00% 0 20.00% 1 40.00% 1 40.00% 1 40.00% 1 40.00% 2 0.00% 3 0.00% 3 10.00% Canadian brok	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 4 10.00% 5 0.00% 0 0.00% 1 0.00%	0 0 4 6 1 1 Answered lity (ie recalls SD and cash SD and cash plicable 0 0 0 0 0 0 0	a) 10 10 10 10 10 10 10 10 10 10 5) creates an h collaterals for Total 10 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry N Other (please specify) 114365588986 1143657319780 Q8. Is there anything else Answered Skipped 114365588986 114365689866 114365612144	of allocated trades to CDS by 7:30 p.m. on T7 of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the transition to T vill smoothly handle the transition to T+1? Respondent ID e - whether in your firm, other firms, or in t	Major 10.00% 0.00% 0.00% 20.00% 20.00% 20.00% 20.00% 20.00% 40.00% 0.00% 0.00% 0.00% 2	issue 1 1 0 0 2 br (please spe We are confi (reate / rede mfortable 2 0 0 0 0 br (please spe (rede mfortable 2 0 0 0 0 create / rede mfortable 2 0 0 0 0 0 0 0 0 0 0 0 0 0	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (see n clearly nee n clearly nee n think of th Tags n taiking about	of an issue 4 5 4 4 2 2 2 will deliver ar we would like 6 6 7 6 8 8 8 to improve at could (a) 11 24-101. tt it and shari	40.00% 30.00% 0.00% 10.00%	securities len er industry so mfortable	4 10.00% 3 10.00% 0 20.00% 1 40.00% 1 40.00% 1 40.00% 2 0.00% 1 500000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 50000 1 5000 1 5000 1 50000 1 500 1 5000 1 5000 1 5000 1 500 1 500 1 5000 1 5000 1 5000 1 500 1 5000 1 5000	The lack of e CNS capa know	1 0.00% 1 0.00% 2 40.00% 2 60.00% 4 10.00% 4 10.00% 4 10.00% 5 0.00% 0 0.00% 1 0.00%	0 0 4 6 1 1 Answered lity (ie recalls SD and cash SD and cash plicable 0 0 0 0 0 0 0	a) 10 10 10 10 10 10 10 10 10 10 5) creates an h collaterals for Total 10 10 10 10 10	impediment. or fails (NI 81	
Being able to report ~100% Being able to confirm 90% i Being able to confirm 90% i Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry v Other (please specify) 114365588986 114357319780 Q8. Is there anything else Answered Skipped 114365588986 11436538986 11436538986 11436538986 11436538986 11436538986	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA a nd use an automated securities lending solution m process resolved? nominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the transition to T will smoothly handle the transition to T+1? Respondent ID e - whether in your firm, other firms, or in t Respondent ID	Major 10.00% 0.00% 0.00% 20.0%	issue 1 1 0 0 2 br (please spe We are confi create / rede mfortable 2 0 0 0 br (please spe (defined coun Our custodia - that you ca I Responses (Guidance is I lets just keep CSA requirin	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (se n clearly nee n clearly nee n think of th Tags required on N talking abou g buy side fir	of an issue 4 5 4 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00%	nfortable ns, and non lovorkflows. mpede a sm challenges. 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 e CNS capa know er dealers)	1 0.00% 1 0.00% 2 40.00% 2 40.00% 4 10.00% 4 10.00% 1 0.00% 0 0.00% 1 0.00% 1 0.00%	0 0 4 6 1 1 Answered Dily (ie recalls CSD and cash Dilicable 0 0 0 0 0 0 4 Answered	10 10 10 10 10 10 10 10 10 10 10 10 10 1	e below.	-102).
Being able to report ~100% Being able to confirm 90%. Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry v Other (please specify) 114365588986 114357319780 Q8. Is there anything else Answered Skipped 114365588986 1143657378200 Q9. Please provide us with	of allocated trades to CDS by 7:30 p.m. on T7 of trades by 3:59 a.m. on T+1 (pending CSA ag ind use an automated securities lending solution m process resolved? iominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the transition to T vill smoothly handle the transition to T+1? Respondent ID e - whether in your firm, other firms, or in t	Major 10.00% 10.00% 20%	issue 1 1 0 0 2 We are confi (create / rede mfortable 2 0 0 0 er (please spe (defined coun 0 0 0 er (please spe (defined coun 0 0 0 0 1 er (spe (defined coun 0 0 0 1 er (spe (defined coun 0 0 1 er (spe (defined coun 0 0 er (spe (defined coun 0 0 er (spe (defined coun 0 0 er (spe (defined coun 0 0 er (spe (defined coun 0) (create / rede) er (spe (defined coun 0) (create / rede) er (spe (defined coun 0) (create / rede) er (spe (defined coun 0) (create / rede) er (spe (create / rede) er (spe (Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (se n clearly nee n clearly nee n think of th Tags required on N talking abou g buy side fir	of an issue 4 5 4 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00%	nfortable ns, and non lovorkflows. mpede a sm challenges. 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 e CNS capa know er dealers)	1 0.00% 1 0.00% 2 40.00% 2 40.00% 4 10.00% 4 10.00% 1 0.00% 0 0.00% 1 0.00% 1 0.00%	0 0 4 6 1 1 Answered Dily (ie recalls CSD and cash Dilicable 0 0 0 0 0 0 4 Answered	10 10 10 10 10 10 10 10 10 10 10 10 10 1	e below.	-102).
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry N Other (please specify) 114365588986 114357319780 Q8. Is there anything else Answered Skipped 1143652144 114357378200 Q9. Please provide us with Answered	of allocated trades to CDS by 7:30 p.m. on T? of trades by 3:59 a.m. on T+1 (pending CSA a nd use an automated securities lending solution m process resolved? nominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the transition to T will smoothly handle the transition to T+1? Respondent ID e - whether in your firm, other firms, or in t Respondent ID	Major 10.00% 0.00% 0.00% 20.0%	issue 1 1 1 0 0 2 2 We are confi create / rede mfortable 2 0 0 0 0 0 0 0 0 0 0 0 0 0	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (se n clearly nee n clearly nee n think of th Tags required on N talking abou g buy side fir	of an issue 4 5 4 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00%	nfortable ns, and non lovorkflows. mpede a sm challenges. 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 e CNS capa know er dealers)	1 0.00% 1 0.00% 2 40.00% 2 40.00% 4 10.00% 4 10.00% 1 0.00% 0 0.00% 1 0.00% 1 0.00%	0 0 4 6 1 1 Answered Dily (ie recalls CSD and cash Dilicable 0 0 0 0 0 0 4 Answered	10 10 10 10 10 10 10 10 10 10 10 10 10 1	e below.	-102).
Being able to report ~100% Being able to confirm 90%. Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry v Other (please specify) 114365588986 114357319780 Q8. Is there anything else Answered Skipped 114365588986 1143657378200 Q9. Please provide us with	of allocated trades to CDS by 7:30 p.m. on T7 of trades by 3:59 a.m. on T+1 (pending CSA ag nd use an automated securities lending solution m process resolved? nominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the transition to T will smoothly handle the transition to T+1? Respondent ID e - whether in your firm, other firms, or in t Respondent ID any other comments that you wish with respect	Major 10.00% 0.00%	issue 1 1 0 0 2 br (please spe We are confi (create / rede mfortable 2 0 0 0 0 0 0 0 0 0 0 0 2 4 (please spe We are confi (create / rede mfortable 2 0 0 0 0 0 0 0 0 0 0 0 0 0	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (se n clearly nee n clearly nee n think of th Tags required on N talking abou g buy side fir	of an issue 4 5 4 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00%	nfortable ns, and non lovorkflows. mpede a sm challenges. 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 e CNS capa know er dealers)	1 0.00% 1 0.00% 2 40.00% 2 40.00% 4 10.00% 4 10.00% 1 0.00% 0 0.00% 1 0.00% 1 0.00%	0 0 4 6 1 1 Answered Dily (ie recalls CSD and cash Dilicable 0 0 0 0 0 0 4 Answered	10 10 10 10 10 10 10 10 10 10 10 10 10 1	e below.	-102).
Being able to report ~100% Being able to confirm 90% Being able to transition to a Have the ETF create/redee Be able to settle trades der Other (please specify) 114365588986 Q7. How comfortable are Your infrastructure, service Your counterparties in the i Other firms in the industry to Other (please specify) 114365588986 114357319780 Q8. Is there anything else Answered Skipped 114365712144 114357378200 Q9. Please provide us with Answered	of allocated trades to CDS by 7:30 p.m. on T7 of trades by 3:59 a.m. on T+1 (pending CSA ag nd use an automated securities lending solution m process resolved? nominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the transition to T will smoothly handle the transition to T+1? Respondent ID e - whether in your firm, other firms, or in t Respondent ID any other comments that you wish with respect	Major 10.00% 0.00%	issue 1 1 1 0 0 0 2 We are confi (create / rede mfortable 2 0 0 0 er (please spe (defined coun 0 0 0 0 0 0 0 0 0 0 0 0 0	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (se n clearly nee n clearly nee n think of th Tags required on N talking abou g buy side fir urvey or the l	of an issue 4 5 4 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00%	nfortable ns, and non lovorkflows. mpede a sm challenges. 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 e CNS capa know er dealers)	1 0.00% 1 0.00% 2 40.00% 2 40.00% 4 10.00% 4 10.00% 1 0.00% 0 0.00% 1 0.00% 1 0.00%	0 0 4 6 1 1 Answered Dily (ie recalls CSD and cash Dilicable 0 0 0 0 0 0 4 Answered	10 10 10 10 10 10 10 10 10 10 10 10 10 1	e below.	-102).
ieing able to report ~100% ieing able to confirm 90% ieing able to transition to a lave the ETF create/redee ie able to stitle trades der ther (please specify) 14365588986 17. How comfortable are our infrastructure, service 'our counterparties in the i ther firms in the industry v ther (please specify) 14365588986 143657319780 18. Is there anything else inswered kipped 14365588986 14363612144 143657378200 19. Please provide us with inswered kipped	of allocated trades to CDS by 7:30 p.m. on T7 of trades by 3:59 a.m. on T+1 (pending CSA ag nd use an automated securities lending solution m process resolved? nominated in foreign currencies other than USD Respondent ID you that: (Please select one answer per providers/vendors will smoothly handle the transition to T will smoothly handle the transition to T+1? Respondent ID e - whether in your firm, other firms, or in t Respondent ID any other comments that you wish with respect	Major 10.00% 10.00% 20%	issue 1 1 1 0 0 0 2 We are confi (create / rede mfortable 2 0 0 0 er (please spe (defined coun 0 0 0 0 0 0 0 0 0 0 0 0 0	Somewhat 40.00% 50.00% 40.00% 20.00% 20.00% Tags dent that we em process v Somewhat 60.00% 70.00% 60.00% Tags terparties (se n clearly nee n clearly nee n think of th Tags required on N talking abou g buy side fir urvey or the l	of an issue 4 5 4 4 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	40.00% 30.00% 0.00% 10.00%	nfortable ns, and non lovorkflows. mpede a sm challenges. 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 e CNS capa know er dealers)	1 0.00% 1 0.00% 2 40.00% 2 40.00% 4 10.00% 4 10.00% 1 0.00% 0 0.00% 1 0.00% 1 0.00%	0 0 4 6 1 1 Answered Dily (ie recalls CSD and cash Dilicable 0 0 0 0 0 0 4 Answered	10 10 10 10 10 10 10 10 10 10 10 10 10 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 50.0%	onfident 2	25.0%	1	25.0%	1	0.0%	0	0.0%	(0 4		
mplete necessary developme mplete industry testing with (ent before December 31, 2023? CDS between January 8 and April 30, 2024?	Very co 50.0% 75.0%	onfident 2 3	25.0% 25.0%	1	25.0% 0.0%	1	0.0% 0.0%	0	0.0%	(0 4 0 4		
mplete necessary developme mplete industry testing with mplete necessary testing with	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024?	Very co 50.0% 75.0% 50.0%	onfident 2 3 2	25.0% 25.0% 0.0%	1 1 0	25.0% 0.0% 0.0%	1 0 0	0.0% 0.0% 25.0%	0 0 1	0.0% 0.0% 25.0%	(0 4 0 4 1 4		
mplete necessary developme mplete industry testing with mplete necessary testing with mplete necessary testing with	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024	Very co 50.0% 75.0% 50.0% 25.0%	onfident 2 3 2 1	25.0% 25.0% 0.0% 0.0%	1 1 0 0	25.0% 0.0% 0.0%	1 0 0	0.0% 0.0% 25.0% 25.0%	0 0 1 1	0.0% 0.0% 25.0% 50.0%	(0 4 0 4 1 4 2 4		
mplete necessary developme mplete industry testing with (mplete necessary testing with mplete necessary testing with oothly transition to T+1 on N	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024?	Very co 50.0% 75.0% 50.0% 25.0% 50.0%	nfident 2 3 2 1 2	25.0% 25.0% 0.0% 0.0% 25.0%	1 1 0 0 1	25.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0	0.0% 0.0% 25.0% 25.0%	0 0 1 1 1	0.0% 0.0% 25.0% 50.0% 0.0%) ((0 4 0 4 1 4 2 4 0 4		
mplete necessary developme mplete industry testing with mplete necessary testing with oothly transition to T+1 on N oothly thandle double settlem	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024	Very co 50.0% 75.0% 50.0% 25.0%	nfident 2 3 2 1 2	25.0% 25.0% 0.0% 0.0% 25.0%	1 1 0 0 1	25.0% 0.0% 0.0%	1 0 0	0.0% 0.0% 25.0% 25.0%	0 0 1 1	0.0% 0.0% 25.0% 50.0% 0.0%) ((0 4 0 4 1 4 2 4 0 4 0 4 0 4		
mplete necessary developme mplete industry testing with mplete necessary testing with oothly transition to T+1 on N oothly thandle double settlem	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024?	Very co 50.0% 75.0% 50.0% 25.0% 50.0%	onfident 2 3 2 1 2	25.0% 25.0% 0.0% 0.0% 25.0%	1 1 0 0 1	25.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0	0.0% 0.0% 25.0% 25.0%	0 0 1 1 1	0.0% 0.0% 25.0% 50.0% 0.0%		0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 0		
mplete necessary developme mplete industry testing with mplete necessary testing with opthy transition to T+1 on N noothly transition to T+1 on N	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024?	Very co 50.0% 75.0% 50.0% 25.0% 50.0%	onfident 2 3 2 1 2	25.0% 25.0% 0.0% 0.0% 25.0%	1 1 0 0 1	25.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0	0.0% 0.0% 25.0% 25.0%	0 0 1 1 1	0.0% 0.0% 25.0% 50.0% 0.0%) ((0 4 0 4 1 4 2 4 0 4 0 4 0 4		
mplete necessary developme mplete industry testing with mplete necessary testing with nothly transition to T+1 on N noothly handle double settlern her (please specify)	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 20;	Very cc 50.0% 75.0% 50.0% 50.0% 50.0%	nfident 2 3 2 1 2 2	25.0% 25.0% 0.0% 25.0% 25.0%	1 1 0 0 1	25.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0	0.0% 0.0% 25.0% 25.0%	0 0 1 1 1	0.0% 0.0% 25.0% 50.0% 0.0%		0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 0		
mplete necessary developme mplete industry testing with (mplete necessary testing with nothly transition to T+1 on N noothly handle double settlern her (please specify)	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024?	Very cc 50.0% 75.0% 50.0% 50.0% 50.0%	onfident 2 3 2 1 2 2 2 2 swer per row	25.0% 25.0% 0.0% 25.0% 25.0%	1 1 0 1 1	25.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0%	0 0 1 1 1 1	0.0% 0.0% 25.0% 50.0% 0.0%	() (((Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4		
mplete necessary developme mplete industry testing with mplete necessary testing with isoothly transition to T+1 on N isoothly handle double settlem her (please specify)	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 20: rding the following industry challenges? (Please s	Very cc 50.0% 75.0% 50.0% 50.0% 50.0% 50.0%	nfident 2 3 2 1 2 2 2 3 5 8 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9	25.0% 25.0% 0.0% 25.0% 25.0% 25.0%	1 1 0 1 1 1 0 0 0	25.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0% Don't kr	0 0 1 1 1 1 0 0 0 0 0	0.0% 0.0% 25.0% 50.0% 0.0% 0.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 700		
mplete necessary developme mplete industry testing with mplete necessary testing with nothy transition to T+1 on N noothly handle double settlen her (please specify) how worried are you regar	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please so illocated trades to CDS by 7:30 p.m. on T?	Very cc 50.0% 75.0% 50.0% 50.0% 50.0% select one an Majo 0.0%	nfident 2 3 2 1 2 2 2 swer per row r issue 0	25.0% 25.0% 0.0% 25.0% 25.0% /) Somewhat 25.0%	1 1 0 1 1 1 0 0 1	25.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0% Don't kr 0.0%	0 0 1 1 1 1 1 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% Not app 25.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 1 4		
mplete necessary developme mplete industry testing with mplete necessary testing with noothly transition to T+1 on N oothly handle double settler her (please specify) 5. How worried are you regain ing able to report ~100% of tra- ing able to confirm 90% of tra-	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standard trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval)	Very cc 50.0% 75.0% 25.0% 50.0% 50.0%	nfident 2 3 2 1 2 2 2 2 swer per row r issue 0 0	25.0% 25.0% 0.0% 25.0% 25.0% Somewhat 25.0% 50.0%	1 1 0 0 1 1 1 0 f an issue 1 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% Not an issue 50.0%	1 0 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% Don't kr 0.0%	0 0 1 1 1 1 1 1 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0%	() Answered Dicable	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 0 4		
emplete necessary developme omplete industry testing with omplete necessary testing with moleth recessary testing with noothly transition to T+1 on N noothly handle double settlem ther (please specify) 6. How worried are you regation sing able to report ~100% of a sing able to transition to and u	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 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) use an automated securities lending solution?	Very cc 50.0% 75.0% 25.0% 50.0% 50.0% elect one an Majo 0.0% 0.0%	nfident 2 3 2 1 2 2 2 2 3 5 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 50.0% 0.0%	1 1 0 1 1 0 f an issue 1 2 0	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% Not an issue 50.0% 50.0%	1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 0.0%	0 0 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% Vot app 25.0% 0.0%	() () () () () () () () () () () () () (0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 1 4 0 4 2 4		
mplete necessary developme mplete industry testing with mplete necessary testing with noothly transition to T+1 on N noothly handle double settlern her (please specify) How worried are you regar ing able to report ~100% of al ing able to cransition to and u we the ETF create/redeem pro-	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please so illocated trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved?	Very cc 50.0% 75.0% 50.0% 50.0% 50.0% 60.0% 60.0% 0.0% 0.0% 0.0%	nnfident 2 3 2 1 1 2 2 2 5 5 5 5 5 5 5 5 5 5 5 5 5 5	25.0% 25.0% 0.0% 25.0% 25.0% 25.0% 500% 0.0% 0.0%	1 1 0 0 1 1 1 0 of an issue 1 2 0 0 0	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% Don't kr 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 0.0%	() () () () () () () () () () () () () (0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 1 0 1 4 1 4 0 4 2 4 2 4 2 4		
mplete necessary developme mplete industry testing with mplete necessary testing with isoothly transition to T+1 on N oothly transition to T+1 on N oothly handle double settler her (please specify) . How worried are you regar- ing able to report ~100% of tra- ing able to transition to and u we the ETF create/redeem pro- able to settle trades denomin	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 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) use an automated securities lending solution?	Very cc 50.0% 75.0% 50.0% 50.0% 50.0% 60.0% 60.0% 0.0% 0.0% 0.0%	nnfident 2 3 2 1 1 2 2 2 5 5 5 5 5 5 5 5 5 5 5 5 5 5	25.0% 25.0% 0.0% 25.0% 25.0% 25.0% 500% 0.0% 0.0%	1 1 0 0 1 1 1 0 of an issue 1 2 0 0 0	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% Not an issue 50.0% 50.0%	1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 0.0%	0 0 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 0.0%	() () () () () () () () () () () () () (0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 1 4 0 4 2 4		
mplete necessary developme mplete industry testing with mplete necessary testing with noothly transition to T+1 on N oothly transition to T+1 on N oothly handle double settler her (please specify) . How worried are you regar- ing able to report ~100% of tra- ing able to confirm 90% of tra- ing able to transition to and u we the ETF create/redeem pro- able to settle trades denomin	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please so illocated trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved?	Very cc 50.0% 75.0% 50.0% 50.0% 50.0% 60.0% 60.0% 0.0% 0.0% 0.0%	nnfident 2 3 2 1 1 2 2 2 5 swer per row r issue 0 0 0 0 0 0 0 0 0	25.0% 25.0% 0.0% 25.0% 25.0% 25.0% 500% 0.0% 0.0%	1 1 0 0 1 1 1 0 of an issue 1 2 0 0 0	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% Don't kr 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 25.0% 0.0% 50.0% 50.0% 25.0%	() () () () () () () () () () () () () (0 4 0 4 1 4 1 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 2 4 1 4		
mplete necessary developme mplete industry testing with mplete necessary testing with noothly transition to T+1 on N noothly handle double settlern her (please specify) 5. How worried are you regar ing able to report ~100% of al ing able to cransition to and uve the ETF create/redeem pro-	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please so illocated trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved?	Very cc 50.0% 75.0% 50.0% 50.0% 50.0% 60.0% 60.0% 0.0% 0.0% 0.0%	nnfident 2 3 2 1 1 2 2 2 5 swer per row r issue 0 0 0 0 0 0 0 0 0	25.0% 25.0% 0.0% 25.0% 25.0% 25.0% 500% 0.0% 0.0%	1 1 0 0 1 1 1 0 of an issue 1 2 0 0 0	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% Don't kr 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 25.0% 0.0% 50.0% 50.0% 25.0%	() () Answered Dlicable	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 2 4 2 4 1 4 1 0 0		
mplete necessary developme mplete industry testing with mplete necessary testing with not transition to T+1 on N noothly handle double settlen her (please specify) 5. How worried are you regar ing able to report ~100% of al ing able to confirm 90% of tra ing able to confirm 90% of tra ing able to transition to and u we the ETF create/redeem pro able to settle trades denomin her (please specify)	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please so illocated trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved?	Very cc 50.0% 75.0% 50.0% 50.0% 50.0% 60.0% 60.0% 0.0% 0.0% 0.0%	nnfident 2 3 2 1 1 2 2 2 5 swer per row r issue 0 0 0 0 0 0 0 0 0	25.0% 25.0% 0.0% 25.0% 25.0% 25.0% 500% 0.0% 0.0%	1 1 0 0 1 1 1 0 of an issue 1 2 0 0 0	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% Don't kr 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 25.0% 0.0% 50.0% 50.0% 25.0%	() () Answered Dlicable	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 2 4 2 4 1 4 1 0 0		
mplete necessary developme mplete industry testing with mplete necessary testing with noothly transition to T+1 on N woothly handle double settlern her (please specify) . How worried are you regar- ing able to report ~100% of al- ing able to confirm 90% of tra- ing able to confirm 90% of tra- ing able to transition to and u we the ETF create/redeem pro- able to settle trades denomin- her (please specify)	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standard trades to CDS by 7:30 p.m. on T? addes by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1?	Very cc 50.0% 75.0% 25.0% 50.0% 50.0% 50.0% 60.0% 0.0% 0.0% 0.0%	nnfident 2 3 2 1 1 2 2 2 5 swer per row r issue 0 0 0 0 0 0 0 0 0	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 50.0% 0.0% 25.0%	1 1 0 0 1 1 1 0 of an issue 1 2 0 0 0	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% Don't kr 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 25.0% 0.0% 50.0% 50.0% 25.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 2 4 2 4 1 4 1 0 0		
mplete necessary developme mplete industry testing with mplete necessary testing with noothly transition to T+1 on N oothly handle double settlem her (please specify) • How worried are you regain ing able to report ~100% of al ing able to confirm 90% of tra ing able to confirm 90% of tra ing able to settle trades denomin her (please specify) • How comfortable are you t	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standard trades to CDS by 7:30 p.m. on T? addes by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1?	Very cc 50.0% 75.0% 50.0% 22.5.0% 50.0% 50.0% 60.0% 0.0% 0.0% 0.0% 0.0% 0.0%	nnfident 2 3 2 1 1 2 2 5 wer per row 0 0 0 0 0 0 0 0 0 0 0 0 0	25.0% 25.0% 0.0% 25.0% 25.0% 25.0% 0.0% 50.0% 0.0% 25.0% 25.0%	1 1 0 0 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 0	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 0.0% 0.0% 50.0% 50.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 2 4 2 4 1 4 1 4 0 4		
mplete necessary developme mplete industry testing with d mplete industry testing with molete necessary testing with oothly transition to T+1 on N oothly handle double settlem ner (please specify) . How worried are you regar ng able to report ~100% of al ng able to transition to and u ve the ETF create/redeem pro able to settle trades denomin ner (please specify) . How comfortable are you to ar infrastructure, service prov	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please states the following indu	Very cc 50.0% 75.0% 55.0% 25.0% 50.0% 50.0% 60.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	nfident 2 3 2 1 1 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 0	1 1 0 0 0 1 1 1 2 0 0 0 1 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 50.0% 50.0% 50.0% 50.0%	1 0 0 0 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 0.0% 0.0% 50.0% 50.0% 25.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 1 4 0 4 2 4 2 4 2 4 1 4 1 4 0 0 4 2 4 2 4 4 0 0 4 4 0 0 4 4 0 0 4 4 0 0 4 4 0 0 4 1 4 4 0 0 4 4 0 0 0 4 4 0 0 0 0		
nplete necessary developme mplete industry testing with nplete necessary testing with nplete necessary testing with oothly transition to T+1 on N oothly handle double settler ter (please specify) How worried are you rega ng able to report ~100% of at ng able to rensition to and u ze the ETF create/redem pro- able to settle trades denomine ter (please specify) How comfortable are you t in frastructure, service proven r counterparties in the indus	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? ment date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please so illocated trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? occess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) viders/vendors will smoothly handle the transition t	Very cc 50.0% 75.0% 55.0% 25.0% 50.0% 50.0% 60.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	nfident 2 3 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 50.0% 50.0% 50.0% 50.0%	1 1 1 1 0 0 0 1 1 1 1 1 1 2 0 0 0 1 1 1 2 2 0 0 0 1 1 2 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 20.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 50.0% 0.0% 0.0% 50.0% 50.0% 25.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 2 4 1 4 1 4 2 4 1 4 1 4 0 4 2 4 1 4 0 4 2 4 1 0 4 2 4 1 0 4 2 4 1 0 4 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 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		
mplete necessary developme mplete industry testing with mplete necessary testing with mplete necessary testing with oothly transition to T+1 on N oothly handle double settlem ner (please specify) . How worried are you regan ng able to report ~100% of at ng able to confirm 90% of tra ng able to confirm 90% of of tra ng able to confirm 90% of tra ng able to transition to and u ve the ETF create/redeem pro able to settle trades denomin er (please specify) . How comfortable are you to ar infrastructure, service prov ur counterparties in the indus rer firms in the industry will s	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standard trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? occess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) viders/vendors will smoothly handle the transition to tstry will smoothly handle the transition to T+1? (please that the transition to T+1? (please the transition to T+1?) (please the transition to T+1?)	Very co 50.0% 75.0% 22.0% 50.0% 50.0% 50.0% 0.0% 0.0% 0.0% 0.0	nfident 2 3 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 50.0% 50.0% 50.0% 50.0%	1 1 1 1 0 0 0 1 1 1 1 1 1 2 0 0 0 1 1 1 2 2 0 0 0 1 1 2 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 25.0% 0.0% 50.0% 25.0% 25.0%	Answered	0 4 0 4 1 4 1 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 1 4 2 4 2 4 1 4 1 4 0 4 2 4 2 4 1 4 0 4 2 4 4 0 0 4 2 4 4 0 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0		
mplete necessary developme mplete industry testing with mplete necessary testing with molete necessary testing with isoothly transition to T+1 on N otothly handle double settlen her (please specify) How worried are you regain ing able to report ~100% of at ing able to confirm 90% of tra- ing able to confirm 90% of at ing able to confirm 90% of tra- ing able to confirm 90% of tra- ing able to settle trades denomin- her (please specify) How comfortable are you to ur infrastructure, service prov ur counterparties in the indus her firms in the industry will s	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standard trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? occess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) viders/vendors will smoothly handle the transition to tstry will smoothly handle the transition to T+1? (please that the transition to T+1? (please the transition to T+1?) (please the transition to T+1?)	Very co 50.0% 75.0% 22.0% 50.0% 50.0% 50.0% 0.0% 0.0% 0.0% 0.0	nfident 2 3 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 50.0% 50.0% 50.0% 50.0%	1 1 1 1 0 0 0 1 1 1 1 1 1 2 0 0 0 1 1 1 2 2 0 0 0 1 1 2 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 50.0% 0.0% 0.0% 50.0% 50.0% 50.0% 50.0% 0.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 0 4 2 4 2 4 2 4 1 4 1 4 0 4 2 4 2 4 1 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0		
mplete necessary developme mplete industry testing with mplete necessary testing with industry testing with oothly transition to T+1 on N oothly handle double settlern her (please specify) How worried are you regan ing able to report ~100% of al ing able to confirm 90% of tra- ing able to settle trades denomin- her (please specify) How comfortable are you fu- ur infrastructure, service prov- ur counterparties in the indus- her firms in the industry will s- her (please specify)	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please select trades to CDS by 7:30 p.m. on T? addes by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) viders/vendors will smoothly handle the transition to smoothly handle the transition to T+1? (please select one answer)	Very cc 50.0% 75.0% 25.0% 50.0% 50.0% 50.0% 50.0% 0.0% 0.0% 0	nfident 2 3 2 1 1 2 2 3 2 3 3 2 2 3 5 8 8 9 9 0 0 0 0 0 0 0 0 0 0 0 0 0	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 50.0% 50.0% 50.0%	1 1 0 0 1 1 1 1 1 2 0 0 0 0 1 1 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0%	1 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 50.0% 0.0% 70.0% 50.0% 50.0% 50.0% 50.0% 70.0% 0.0% 0.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 2 4 2 4 2 4 1 4 1 4 0 4 2 4 2 4 1 4 0 0 4 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 1 0 4 0 0 4 1 0 0 0 4 1 0 0 4 0 0 4 1 0 0 4 0 0 4 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		
mplete necessary developme mplete industry testing with mplete necessary testing with molete necessary testing with isoothly transition to T+1 on N isoothly handle double settler her (please specify) How worried are you rega ing able to report ~100% of al ing able to confirm 90% of tra ing able to settle trades denomin her (please specify) How comfortable are you t ur infrastructure, service prov ur counterparties in the industry will s her firms in the industry will s her (please specify) Lis there anything else – wh	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standard trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? occess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) viders/vendors will smoothly handle the transition to tstry will smoothly handle the transition to T+1? (please that the transition to T+1? (please the transition to T+1?) (please the transition to T+1?)	Very cc 50.0% 75.0% 50.0% 22.50% 50.0% 50.0% 50.0% 0.0% 0.0% 0.0% 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% 25.0% 0.0% 25.0% 25.0% 50.0% 50.0% 50.0% 50.0%	1 1 0 0 1 1 1 1 1 2 0 0 0 0 1 1 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0%	1 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 50.0% 0.0% 70.0% 50.0% 50.0% 50.0% 50.0% 70.0% 0.0% 0.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 2 4 2 4 2 4 1 4 1 4 0 4 2 4 2 4 1 4 0 0 4 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 1 0 4 0 0 4 1 0 0 0 4 1 0 0 4 0 0 4 1 0 0 4 0 0 4 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		
mplete necessary developme mplete industry testing with mplete necessary testing with molete necessary testing with isoothly transition to T+1 on N oothly transition to T+1 on N oothly handle double settler her (please specify) . How worried are you regar- ing able to report ~100% of lai ing able to confirm 90% of tra- ing able to confirm 90% of tra- ing able to transition to and u we the ETF create/redeem pro- able to settle trades denomi- her (please specify) . How comfortable are you to ur counterparties in the indus her firms in the industry will s her (please specify) . Is there anything else – wh swered	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please select trades to CDS by 7:30 p.m. on T? addes by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) viders/vendors will smoothly handle the transition to smoothly handle the transition to T+1? (please select one answer)	Very co 50.0% 75.0% 25.0% 25.0% 50.0% 50.0% 50.0% 0.0% 0.0% 0.0% 0.	antident 2 3 2 1 2 2 3 2 2 3 2 3 2 3 2 3 3 2 3 3 2 3<	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 50.0% 50.0% 50.0%	1 1 0 0 1 1 1 1 1 2 0 0 0 0 1 1 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0%	1 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 50.0% 0.0% 70.0% 50.0% 50.0% 50.0% 50.0% 70.0% 0.0% 0.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 2 4 2 4 2 4 1 4 1 4 0 4 2 4 2 4 1 4 0 0 4 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 1 0 4 0 0 4 1 0 0 0 4 1 0 0 4 0 0 4 1 0 0 4 0 0 4 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		
mplete necessary developme mplete industry testing with mplete necessary testing with industry testing with isoothly transition to T+1 on N oothly handle double settler her (please specify) How worried are you regar- ing able to report ~100% of lai ing able to confirm 90% of tra- ing able to confirm 90% of tra- ing able to transition to and u we the ETF create/redeem pro- able to settle trades denomin- her (please specify) How comfortable are you to ur counterparties in the indust her firms in the industry will sher (please specify)	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please selected trades to CDS by 7:30 p.m. on T? ades by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? occess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) viders/vendors will smoothly handle the transition to tstry will smoothly handle the transition to T+1? (please select one answer per row) viders/vendors will smoothly handle the transition to T+1? hether in your firm, other firms, or in the industry	Very cc 50.0% 75.0% 22.0% 50.0% 50.0% 50.0% 50.0% 0.0% 0.0% 0.	nfident 2 3 2 1 1 2 2 2 2 3 2 2 3 2 2 3 3 2 2 3 3 2 2 3 3 3 2 2 2 3 3 3 2 2 2 3 3 3 2 2 2 3 3 3 2 2 2 3 3 3 2 2 2 3 3 3 2 2 3 3 3 3 3 3 3 3 3 3 3 3 3	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 0.0% 0.0% 0.0% 0.0% 0.0% 25.0% 50.0% 50.0% 50.0% 50.0%	1 1 0 0 1 1 1 1 1 2 0 0 0 0 1 1 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0%	1 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 50.0% 0.0% 70.0% 50.0% 50.0% 50.0% 50.0% 70.0% 0.0% 0.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 2 4 2 4 2 4 1 4 1 4 0 4 2 4 2 4 1 4 0 0 4 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 1 0 4 0 0 4 1 0 0 0 4 1 0 0 4 0 0 4 1 0 0 4 0 0 4 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		
mplete necessary developme mplete industry testing with mplete necessary testing with mothy transition to T+1 on N noothy handle double settlen her (please specify) 6. How worried are you regar- ing able to report ~100% of at ing able to confirm 90% of tra- ing able to confirm 90% of tra- ing able to confirm 90% of tra- ing able to transition to and u ve the ETF create/redeem pro- able to settle trades denomin- her (please specify) 7. How comfortable are you to ur infrastructure, service prov ur counterparties in the indus her firms in the industry will s her (please specify) 8. Is there anything else – wh swered ipped	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standards) addes by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) widers/vendors will smoothly handle the transition to stry will smoothly handle the transition to T+1? hether in your firm, other firms, or in the industry Respondent ID	Very cc 50.0% 75.0% 25.0% 25.0% 50.0% 50.0% 50.0% 0.0% 0.0% 0.0% 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% 25.0% 0.0% 25.0% 25.0% 25.0% 0.0% 0.0% 25.0% 50.0%	1 1 0 0 0 1 1 2 0 0 0 1 1 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 25.0% 0.0% ede a smooth trans	1 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 50.0% 0.0% 70.0% 50.0% 50.0% 50.0% 50.0% 70.0% 0.0% 0.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 2 4 2 4 2 4 1 4 1 4 0 4 2 4 2 4 1 4 0 0 4 0 4 0 0 4 0 0 4 0 0 4 0 0 4 0 0 4 1 0 4 0 0 4 1 0 0 0 4 1 0 0 4 0 0 4 1 0 0 4 0 0 4 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		
mplete necessary developme mplete industry testing with mplete industry testing with mplete necessary testing with industry transition to T+1 on N ioothly handle double settler her (please specify) . How worried are you regar- ing able to report ~100% of al- ing able to cronfirm 90% of tra- ing able to transition to and u ve the ETF create/redeem pro- able to settle trades denomin- her (please specify) . How comfortable are you to ur counterparties envice prov ur counterparties envice prov ur counterparties envice prov her firms in the industry will sher (please specify) . Is there anything else – wh swered ipped 4362224692	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standards by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) widers/vendors will smoothly handle the transition to stry will smoothly handle the transition to T+1? (please smoothly handle the transition to T+1? hether in your firm, other firms, or in the industry Respondent ID	Very cc 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 60.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	antident 2 a 3 a 2 a 1 a 2 swer per row 0 o 0 o 0 o 0 o 0 a Responses (If our vendor) 1	25.0% 225.0% 0.0% 225.0% 25.0% 50.0% 0.0% 0.0% 25.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0%	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 25.0% T+1 on May 2	0 0 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 25.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 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 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 1 4 1 4 2 4 2 4 2 4 2 4 1 4 1 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 0 4 1 4 0 4 0 0 4 1		
nplete necessary developme mplete industry testing with mplete necessary testing with mplete necessary testing with oothly transition to T+1 on W oothly handle double settler er (please specify) . How worried are you regan ng able to report ~100% of at ng able to confirm 90% of transition to and u re the ETF create/redeem pro able to settle trades denomin er (please specify) . How comfortable are you to a infrastructure, service prov a conterparties in the indus rer counterparties in the indus rer (please specify) . Is there anything else – wh wered pped	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standards by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) widers/vendors will smoothly handle the transition to stry will smoothly handle the transition to T+1? (please smoothly handle the transition to T+1? hether in your firm, other firms, or in the industry Respondent ID	Very cc 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 60.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	nfident 2 3 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 0.0% 0.0% 25.0% 50.0%	1 1 0 0 0 1 1 1 2 0 0 0 0 0 0 1 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 25.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 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 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 1 4 1 4 2 4 2 4 2 4 2 4 1 4 1 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 0 4 1 4 0 4 0 0 4 1		d the r
nplete necessary developme nplete industry testing with (nplete industry testing with (nplete necessary testing with obthy transition to T+1 on N oothly handle double settler er (please specify) How worried are you regar- ng able to report ~100% of ar g able to confirm 90% of tra g able to cransition to and u e the ETF create/redeem pro- able to settle trades denomin er (please specify) How comfortable are you to r infrastructure, service prov r counterparties in the industry will s er (please specify) Is there anything else – wh wered sped 362224692	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standards by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) widers/vendors will smoothly handle the transition to stry will smoothly handle the transition to T+1? (please smoothly handle the transition to T+1? hether in your firm, other firms, or in the industry Respondent ID	Very cc 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 60.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	nfident 2 3 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 0.0% 0.0% 25.0% 50.0%	1 1 0 0 0 1 1 1 2 0 0 0 0 0 0 1 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 25.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 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 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 1 4 1 4 2 4 2 4 2 4 2 4 1 4 1 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 0 4 1 4 0 4 0 0 4 1		d the r
applete necessary developmen pipete industry testing with of pipete necessary testing with pipete necessary testing with the notation to a to g able to report ~100% of al g able to report ~100% of al g able to report ~100% of al g able to transition to and u e the ETF create/redeem pre- tible to settle trades denoming r (please specify) How comfortable are you to infrastructure, service proving r counterparties in the industry er (please specify) Is there anything else – whwered ped 362224692	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standards by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) widers/vendors will smoothly handle the transition to stry will smoothly handle the transition to T+1? (please smoothly handle the transition to T+1? hether in your firm, other firms, or in the industry Respondent ID	Very cc 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 60.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	nfident 2 3 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 25.0% 0.0% 25.0% 25.0% 50.0% 0.0% 0.0% 25.0% 50.0%	1 1 0 0 0 1 1 1 2 0 0 0 0 0 0 1 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 25.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 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 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 0 4 1 4 1 4 1 4 1 4 2 4 2 4 2 4 2 4 1 4 1 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 4 0 0 4 1 4 0 4 0 0 4 1		d the r
applete necessary developme piplete industry testing with applete necessary testing with piplete necessary testing with oothy transition to T+1 on N oothy handle double settlem er (please specify) How worried are you rega ag able to report ~100% of al ag able to confirm 90% of tra ag able to confirm 90% of tra ag able to confirm 90% of tra ag able to transition to and u e the ETF create/redeem pro- bible to settle trades denomin er (please specify) How comfortable are you t r infrastructure, service prov er (please specify) How comfortable are you t er (please specify) Is there anything else – wh wered 362224692 359790043	ent before December 31, 2023? CDS between January 8 and April 30, 2024? h Fundserv between January and April 30, 2024? h DTCC by April 30, 2024 Aonday, May 27, 2024? nent date volumes (T+1/T+2 trades) on May 28, 202 rding the following industry challenges? (Please standards by 3:59 a.m. on T+1 (pending CSA approval) use an automated securities lending solution? ocess resolved? nated in foreign currencies other than USD on T+1? that: (Please select one answer per row) widers/vendors will smoothly handle the transition to stry will smoothly handle the transition to T+1? (please smoothly handle the transition to T+1? hether in your firm, other firms, or in the industry Respondent ID	Very cc 50.0% 50.0% 225.0% 50.0% 50.0% 50.0% 0.0% 0.0% 0.0% 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% 25.0% 0.0% 25.0% 25.0% 3 5 5 5 5 5 5 5 5 5 5 5 5 5</td><td>1 1 1 0 0 0 1 1 2 0 0 0 0 1 2 2 2 2 2 2 2 2 2 2 2 2 2</td><td>25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%</td><td>1 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2</td><td>0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%</td><td>0 0 1 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0</td><td>0.0% 0.0% 25.0% 0.0% 0.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0%</td><td>Answered</td><td>0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 1 4 0 4 2 4 2 4 2 4 1 4 0 4 2 4 2 4 1 4 0 4 0 4 0 4 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 1 4 4 0 0 4 1 4 4 0 0 4 1 4 4 0 0 4 1 4 4 0 0 0 4 0 0 0 4 0 0 0 0</td><td>Illenge is to fin</td><td></td></tr<>	25.0% 25.0% 0.0% 25.0% 25.0% 3 5 5 5 5 5 5 5 5 5 5 5 5 5	1 1 1 0 0 0 1 1 2 0 0 0 0 1 2 2 2 2 2 2 2 2 2 2 2 2 2	25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	1 0 0 0 0 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	0.0% 0.0% 25.0% 25.0% 25.0% 25.0% 25.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0% 0.0%	0 0 1 1 1 1 1 1 1 1 1 0 0 0 0 0 0 0 0 0	0.0% 0.0% 25.0% 0.0% 0.0% 0.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0% 50.0%	Answered	0 4 0 4 1 4 2 4 0 4 0 4 0 4 0 4 0 4 1 4 0 4 2 4 2 4 2 4 1 4 0 4 2 4 2 4 1 4 0 4 0 4 0 4 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 1 4 4 0 0 4 1 4 4 0 0 4 1 4 4 0 0 4 1 4 4 0 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 /ery small (< 10 staff/FTEs)	Response 18.2%	es 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 Answer Choices	Response 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 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 0		
				1		(0 0.0%	(0 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) 26. How worried are you regarding the following industry challenges? (Please	0: 90.9%	10 ver per ro	9.1%					know	0.0%		0		
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?	5: 90.9% select one answ Major iss 18.2%	10 ver per ro sue 2	9.1% ow) Somewhat (0.0%	of an issue 0	0.0% Not an is 54.55%	ssue	Don't 6 0.0%	know	0 0.0% Not ap 0 27.3%	Answered plicable 3	0 11 Total 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% select one answ Major iss 18.2% 9.1%	10 wer per ro	9.1% ow) Somewhat (0.0% 9.1%	of an issue 0 1	0.0% Not an is 54.55% 45.45%	isue (Don'i 6 0.0% 5 0.0%	know (0 0.0% Not ap 0 27.3% 0 36.4%	Answered plicable 3 4	0 11 Total 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) Being able to transition to and use an automated securities lending solution?	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0%	10 wer per ro sue 2 1 0	9.1% ow) Somewhat 0.0% 9.1% 9.1%	of an issue 0 1 1	0.0% Not an is 54.55% 45.45% 18.18%	ssue I	Don'1 6 0.0% 5 0.0% 2 9.1%	know (0 0.0% Not ap 0 27.3% 0 36.4%	Answered plicable 3 4 7	0 11 Total 11 11 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? 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?	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 0.0%	10 wer per ro sue 2 1 0 0	9.1% Somewhat 0.0% 9.1% 9.1% 9.1%	of an issue 0 1 1 1	0.0% Not an is 54.55% 45.45% 18.18%	ssue I	Don'1 6 0.0% 5 0.0% 2 9.1% 2 0.0%	know ((0 0.0% Not ap 0 27.3% 0 36.4% 1 63.6% 0 72.7%	Answered plicable 3 4 7 8	0 11 Total 11 11 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? 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?	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 0.0%	10 wer per ro sue 2 1 0	9.1% Somewhat 0.0% 9.1% 9.1% 9.1%	of an issue 0 1 1 1	0.0% Not an is 54.55% 45.45% 18.18% 18.18%	ssue I	Don'1 6 0.0% 5 0.0% 2 9.1%	know ((0 0.0% Not ap 0 27.3% 0 36.4% 1 63.6% 0 72.7%	Answered plicable 3 4 7 8	0 11 Total 11 11 11 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% select one answ Major iss 18.2% 9.1% 0.0% 0.0%	10 wer per ro sue 2 1 0 0	9.1% Somewhat 0.0% 9.1% 9.1% 9.1%	of an issue 0 1 1 1	0.0% Not an is 54.55% 45.45% 18.18%	ssue I	Don'1 6 0.0% 5 0.0% 2 9.1% 2 0.0%	know ((0 0.0% Not ap 0 27.3% 0 36.4% 1 63.6% 0 72.7%	Answered plicable 3 4 7 8 6	Total 11 11 11 11 11 11 11 11 0		
Dther (please specify) Q6. 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?	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 0.0%	10 wer per ro sue 2 1 0 0	9.1% Somewhat 0.0% 9.1% 9.1% 9.1%	of an issue 0 1 1 1	0.0% Not an is 54.55% 45.45% 18.18%	ssue I	Don'1 6 0.0% 5 0.0% 2 9.1% 2 0.0%	know ((0 0.0% Not ap 0 27.3% 0 36.4% 1 63.6% 0 72.7%	Answered plicable 3 4 7 8	0 11 Total 11 11 11 11		
Smoothly handle double settlement date volumes (T+1/T+2 trades) on May 28, 20 Other (please specify) Q6. 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)	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 0.0%	10 wer per ro sue 2 1 0 0	9.1% Somewhat 0.0% 9.1% 9.1% 9.1%	of an issue 0 1 1 1	0.0% Not an is 54.55% 45.45% 18.18%	ssue I	Don'1 6 0.0% 5 0.0% 2 9.1% 2 0.0%	know ((0 0.0% Not ap 0 27.3% 0 36.4% 1 63.6% 0 72.7%	Answered plicable 3 4 7 8 6	Total 11 11 11 11 11 11 11 11 0		
Dther (please specify) Q6. 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?	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 0.0% ? 9.1%	10 ver per ro uue 2 1 0 0 0 1	9.1% Somewhat 0.0% 9.1% 9.1% 0.0%	of an issue 0 1 1 1 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36%	ssue 1	Don'1 6 0.0% 5 0.0% 2 9.1% 2 0.0%	know ((0 0.0% Not ap 0 27.3% 0 36.4% 0 72.7% 0 54.6%	Answered plicable 3 4 7 8 6 Answered	0 11 11 11 11 11 11 11 0 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? 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: ther (please specify) 27. How comfortable are you that: (Please select one answer per row)	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0% ? 9.1% Very comfor	10 ver per ro ue 2 1 0 0 1 1 rtable	9.1% Somewhat (0.0% 9.1% 9.1% 0.0% Somewhat c	of an issue 0 1 1 1 1 0 0 0 0 0 0 0 0 0 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36%	rtable	Don'1 6 0.0% 5 0.0% 2 9.1% 2 0.0% 4 0.0%	know () () () () () () () () () () () () ()	Not ap 0 27.3% 0 36.4% 1 63.6% 72.7% 0 54.6%	Answered 3 4 7 8 6 Answered	0 11 11 11 11 11 11 11 0 0 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% select one answ Major iss 18.2% 9.1% 0.0% 0.0% ? 9.1% Very comfor t 45.5%	10 ver per ro ue 2 1 0 0 0 1 1 rtable 5	9.1% Somewhat 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4%	of an issue 0 1 1 1 1 0 0 0 mfortable 4	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0%	rtable	Don'1 5 0.0% 5 0.0% 2 9.1% 2 0.0% 4 0.0%	know ((Not ap 0 27.3% 0 36.4% 0 72.7% 0 54.6%	Answered plicable 3 4 7 8 6 6 Answered plicable 2	0 11 11 11 11 11 11 11 0 11 11 Total 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? 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: Dther (please specify) 27. How comfortable are you that: (Please select one answer per row) Your infrastructure, service providers/vendors will smoothly handle the transition four counterparties in the industry will smoothly handle the transition to T+1? (ple	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3%	10 ver per ro ue 2 1 0 0 1 1 rtable	9.1% Somewhat 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4%	of an issue 0 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1%	rtable	Don'1 6 0.0% 5 0.0% 2 9.1% 2 0.0% 4 0.0%	know () () () () () () () () () () () () () (0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6%	Answered plicable 3 4 7 8 6 Answered plicable 2 2	0 11 11 11 11 11 11 11 0 11 11 Total 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% select one answ Major iss 18.2% 9.1% 0.0% 0.0% ? 9.1% Very comfor t 45.5%	10 ver per ro sue 2 1 0 0 1 1 rtable 5 3	9.1% Somewhat 0.0% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3%	of an issue 0 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1%	rtable	Don'1 6 0.0% 2 9.1% 2 0.0% 4 0.0% 4 0.0% 1 18.2%	know () () () () () () () () () () () () () (0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6%	Answered plicable 3 4 7 8 6 Answered plicable 2 2 2	0 11 11 11 11 11 11 11 11 0 11 Total 11		
26. How worried are you regarding the following industry challenges? (Please leans able to report ~100% of allocated trades to CDS by 7:30 p.m. on T? leans able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval) leans able to transition to and use an automated securities lending solution? lave the ETF create/redeem process resolved? leable 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) four 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. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industr	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3%	10 ver per ro sue 2 1 0 0 1 1 rtable 5 3	9.1% Somewhat 0.0% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3%	of an issue 0 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1%	rtable	Don'1 6 0.0% 2 9.1% 2 0.0% 4 0.0% 4 0.0% 1 18.2%	know () () () () () () () () () () () () () (0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6%	Answered plicable 3 4 7 8 6 Answered plicable 2 2 2	Total 11 11 11 11 11 11 11 11 0 11 11 11 11 1		
26. How worried are you regarding the following industry challenges? (Please leans able to report ~100% of allocated trades to CDS by 7:30 p.m. on T? leans able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval) leans able to transition to and use an automated securities lending solution? lave the ETF create/redeem process resolved? leable 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) four 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. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industry will smoothly handle the transition to T+1? (pl. Other firms in the industr	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3%	10 ver per ro sue 2 1 0 0 0 1 1 rtable 5 3	9.1% Somewhat 0.0% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3%	of an issue 0 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1%	rtable	Don'1 6 0.0% 2 9.1% 2 0.0% 4 0.0% 4 0.0% 1 18.2%	know () () () () () () () () () () () () () (0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6%	Answered plicable 3 4 7 8 6 6 7 8 8 6 6 7 8 9 8 9	0 11 11 11 11 11 11 11 11 11 11 11 11 11		
26. How worried are you regarding the following industry challenges? (Please seeing able to report ~100% of allocated trades to CDS by 7:30 p.m. on T? teing able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval) teing able to transition to and use an automated securities lending solution? Have the ETF create/redeem process resolved? He 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) for uninfrastructure, service providers/vendors will smoothly handle the transition to T+1? (plutter firms in the industry will smoothly handle the transition to T+1?) ther (please specify)	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% Very comfor t 45.5% e 27.3% 18.2%	10 ver per ro 2 1 0 0 1 1 rtable 5 3 2	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 36.4%	of an issue 0 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 1 1 1 1 0 0 0 0 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1%	rtable	Don' 0.0% 2.9.1% 2.0.0% 4.0.0% 0.0% 1.18.2% 1.27.3%	know () () () () () () () () () () () () ()	0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% 18.2% 18.2% 18.2%	Answered plicable 3 4 7 8 6 Answered plicable 2 2 2 1 Answered	0 11 11 11 11 11 11 11 11 11 11 11 11 11		
26. How worried are you regarding the following industry challenges? (Please 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: There (please specify) 27. How comfortable are you that: (Please select one answer per row) rour infrastructure, service providers/vendors will smoothly handle the transition to T+1? (pleate firms in the industry will smoothly handle the transition to T+1? (pleater (please specify)) 28. Is there anything else – whether in your firm, other firms, or in the industry	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3% 18.2% y - that you can 1	10 ver per ro 2 1 0 0 1 1 rtable 5 3 2	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 36.4%	of an issue 0 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 1 1 1 1 0 0 0 0 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1%	rtable	Don' 0.0% 2.9.1% 2.0.0% 4.0.0% 0.0% 1.18.2% 1.27.3%	know () () () () () () () () () () () () ()	0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% 18.2% 18.2% 18.2%	Answered plicable 3 4 7 8 6 Answered plicable 2 2 2 1 Answered	0 11 11 11 11 11 11 11 11 11 11 11 11 11		
26. How worried are you regarding the following industry challenges? (Please 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: ther (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? (plotter firms in the industry will smoothly handle the transition to T+1? (plotter (please specify) 28. Is there anything else – whether in your firm, other firms, or in the industry Nawered	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3% e 27.3% y - that you can t	10 ver per ro 2 1 0 0 1 1 rtable 5 3 2	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 36.4%	of an issue 0 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 1 1 1 1 0 0 0 0 1 1 1 1 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1%	rtable	Don' 0.0% 2.9.1% 2.0.0% 4.0.0% 0.0% 1.18.2% 1.27.3%	know () () () () () () () () () () () () ()	0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% 18.2% 18.2% 18.2%	Answered plicable 3 4 7 8 6 Answered plicable 2 2 2 1 Answered	0 11 11 11 11 11 11 11 11 11 11 11 11 11		
26. How worried are you regarding the following industry challenges? (Please 26. How worried are you regarding the following industry challenges? (Please 38. Big 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) 38. Big able to transition to and use an automated securities lending solution? 4ave the ETF create/redeem process resolved? 38. able to settle trades denominated in foreign currencies other than USD on T+1: 20. How comfortable are you that: (Please select one answer per row) Your infrastructure, service providers/vendors will smoothly handle the transition to T+1? (please first in the industry will smoothly handle the transition to T+1? (please first in the industry will smoothly handle the transition to T+1?) Other (please specify) 28. Is there anything else – whether in your firm, other firms, or in the industry inswered Skipped Respondent ID	0: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3% 18.2% y - that you can t 1 0 Response DateR	10 ver per rc 2 1 1 0 0 0 0 1 1 1 table 5 3 3 2 2 think of t	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3% 36.4%	of an issue 0 1 1 1 1 0 0 0 mfortable 4 3 4 4 0 0 0 mfortable 4 3 4 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1% 9.1%	rtable transition	5 0.0% 5 0.0% 2 9.1% 2 0.0% 4 0.0% 4 0.0% 1 18.2% 1 27.3%	know (((((((((((((((((((0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% Not ap 18.2% 2 18.2% 2 18.2% 2 18.2%	Answered plicable 3 4 7 8 6 Answered plicable 2 2 1 Answered 0 rate below.	Total 11 11 11 11 11 11 11 11 11 1		
26. How worried are you regarding the following industry challenges? (Please 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) seing able to transition to and use an automated securities lending solution? tave the ETF create/redeem process resolved? se 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? (please firms in the industry will smoothly handle the transition to T+1? (please specify) 28. Is there anything else – whether in your firm, other firms, or in the industry inswered Kisipped Respondent ID	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3% 18.2% / - that you can 1 10	10 ver per rc 2 1 1 0 0 0 0 1 1 1 table 5 3 3 2 2 think of t	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3% 36.4%	of an issue 0 1 1 1 1 0 0 0 mfortable 4 3 4 4 0 0 0 mfortable 4 3 4 0	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1% 9.1%	rtable transition	5 0.0% 5 0.0% 2 9.1% 2 0.0% 4 0.0% 4 0.0% 1 18.2% 1 27.3%	know (((((((((((((((((((0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% Not ap 18.2% 2 18.2% 2 18.2% 2 18.2%	Answered plicable 3 4 7 8 6 Answered plicable 2 2 1 Answered 0 rate below.	Total 11 11 11 11 11 11 11 11 11 1	: ability to test	n a timely
26. How worried are you regarding the following industry challenges? (Please 26. How worried are you regarding the following industry challenges? (Please teing able to report ~100% of allocated trades to CDS by 7:30 p.m. on T? teing able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval) teing able to transition to and use an automated securities lending solution? lave the ETF create/redeem process resolved? te able to settle trades denominated in foreign currencies other than USD on T+1: ther (please specify) 27. How comfortable are you that: (Please select one answer per row) four infrastructure, service providers/vendors will smoothly handle the transition to T+1? (please firms in the industry will smoothly handle the transition to T+1? (please specify) 28. Is there anything else – whether in your firm, other firms, or in the industry unswered kipped Respondent ID	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3% 18.2% / that you can the 10 00 Response Date Jun 30 2023 0 1	10 ver per rc 2 1 1 0 0 0 0 1 1 1 trtable 5 3 3 2 2 2 trtable End to en	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3% 36.4% that could (a) f that could (a) f that could (a) f	of an issue 0 1 1 1 0 omfortable 4 3 4 4 3 4 intelp or (b) im	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1% 9.1%	rtable (transition	Don'i 0.0% 2 9.1% 2 0.0% 4 0.0% 1 0.0% 1 18.2% 1 27.3% n to T+1 on Mar	know () () () () () () () () () () () () () (0 0.0% Not ap 0 27.3% 0 36.4% 1 63.6% 0 54.6% 0 54.6% 1 8.2% 2 18.2% 3 9.1% so, please elab	Answered plicable 3 4 7 8 6 Answered plicable 2 2 1 Answered 0 rate below.	Total 11 11 11 11 11 11 11 11 11 1	ability to test	n a timely
26. How worried are you regarding the following industry challenges? (Please 26. How worried are you regarding the following industry challenges? (Please 38. Big 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) 38. Big able to transition to and use an automated securities lending solution? 4ave the ETF create/redeem process resolved? 38. able to settle trades denominated in foreign currencies other than USD on T+1: Dther (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? (please firms in the industry will smoothly handle the transition to T+1? (please firms in the industry will smoothly handle the transition to T+1? (please specify) 28. Is there anything else – whether in your firm, other firms, or in the industry hanswered Skipped Respondent ID	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3% 18.2% / that you can the 10 00 Response Date Jun 30 2023 0 1	10 ver per rc 2 1 1 0 0 0 0 1 1 1 trtable 5 3 3 2 2 2 trtable End to en	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3% 36.4% that could (a) f that could (a) f that could (a) f	of an issue 0 1 1 1 0 omfortable 4 3 4 4 3 4 intelp or (b) im	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1% 9.1% pede a smooth parties slow a	rtable (transition	Don'i 0.0% 2 9.1% 2 0.0% 4 0.0% 1 0.0% 1 18.2% 1 27.3% n to T+1 on Mar	know () () () () () () () () () () () () () (0 0.0% Not ap 0 27.3% 0 36.4% 1 63.6% 0 54.6% 0 54.6% 1 8.2% 2 18.2% 3 9.1% so, please elab	Answered plicable 3 4 7 8 6 Answered plicable 2 2 1 Answered 0 rate below.	Total 11 11 11 11 11 11 11 11 11 1	ability to test	n a timely
26. How worried are you regarding the following industry challenges? (Please 26. How worried are you regarding the following industry challenges? (Please 3eing 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) ale to set 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: Dther (please specify) 27. How comfortable are you that: (Please select one answer per row) Your unfrastructure, service providers/vendors will smoothly handle the transition to T+1? (pl Dther firms in the industry will smoothly handle the transition to T+1? (pl Dther firms in the industry will smoothly handle the transition to T+1? Other (please specify) 28. Is there anything else – whether in your firm, other firms, or in the industry kilped	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% 0.0% 9.1% Very comfor t 45.5% e 27.3% 18.2% / - that you can 1 10 Response Dat@ Jun 30 2023 0 1	10 wer per rc 2 1 1 0 0 0 0 0 1 1 1 1 1 1 1 1 1 1 1 1	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3% 36.4% that could (a) f that could (b) f that could be	of an issue 0 1 1 1 0 omfortable 4 3 4 welp or (b) im irres multiple verifying and	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1% 9.1% pede a smooth parties slow a publishing targ	trable (transition of the second sec	Don' 0.0% 2.9.1% 2.0.0% 4.0.0% 4.0.0% 1.18.2% 1.27.3% n to T+1 on Mar r state of reading or readiness from	know () () () () () () () () () () () () ()	0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% 2 18.2% 8 9.1% 50, please elab	Answered plicable 3 4 7 8 6 Answered plicable 2 2 2 1 Answered orate below.	Total 11 11 11 11 11 11 11 11 11 1		n a timely
ther (please specify) 16. How worried are you regarding the following industry challenges? (Please 16. How worried are you regarding the following industry challenges? (Please 16. How worried are you regarding the following industry challenges? (Please 16. general state 16. How worried are you regarding the following industry challenges? (Please 16. How worried are you for tades by 3:59 a.m. on T+1 (pending CSA approval) 16. general transition to and use an automated securities lending solution? 18. the the ETF create/redeem process resolved? 18. there anything else revoluters/vendors will smoothly handle the transition to T+1? (please specify) 17. How comfortable are you that: (Please select one answer per row) 10. our infrastructure, service providers/vendors will smoothly handle the transition to T+1? (please specify) 18. Is there anything else – whether in your firm, other firms, or in the industry will smoothly handle the transition to T+1? 19. Respondent ID 14357276459	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% 0.0% 9.1% Very comfor t 45.5% e 27.3% 18.2% / - that you can 1 10 Response Dat@ Jun 30 2023 0 1	10 wer per rc 2 1 1 0 0 0 0 0 1 1 1 1 1 1 1 1 1 1 1 1	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3% 36.4% that could (a) f that could (b) f that could be	of an issue 0 1 1 1 0 omfortable 4 3 4 welp or (b) im irres multiple verifying and	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1% 9.1% pede a smooth parties slow a publishing targ	trable (transition of the second sec	Don' 0.0% 2.9.1% 2.0.0% 4.0.0% 4.0.0% 1.18.2% 1.27.3% n to T+1 on Mar r state of reading or readiness from	know () () () () () () () () () () () () ()	0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% 2 18.2% 8 9.1% 50, please elab	Answered plicable 3 4 7 8 6 Answered plicable 2 2 2 1 Answered orate below.	Total 11 11 11 11 11 11 11 11 11 1		n a timely
Http://provide Iteration Http://provide Iteratin Htttp://provide <td>2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3% 18.2% y - that you can t 1 10 Response DateR Jun 30 2023 0 I r tters raised in thi</td> <td>10 wer per rc 2 1 1 0 0 0 0 0 1 1 1 1 1 1 1 1 1 1 1 1</td> <td>9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3% 36.4% that could (a) f that could (b) f that could be</td> <td>of an issue 0 1 1 1 0 omfortable 4 3 4 welp or (b) im irres multiple verifying and</td> <td>0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1% 9.1% pede a smooth parties slow a publishing targ</td> <td>trable (transition of the second sec</td> <td>Don' 0.0% 2.9.1% 2.0.0% 4.0.0% 4.0.0% 1.18.2% 1.27.3% n to T+1 on Mar r state of reading or readiness from</td> <td>know () () () () () () () () () () () () ()</td> <td>0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% 2 18.2% 8 9.1% 50, please elab</td> <td>Answered plicable 3 4 7 8 6 Answered plicable 2 2 2 1 Answered orate below.</td> <td>Total 11 11 11 11 11 11 11 11 11 1</td> <td></td> <td>n a timely</td>	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% 0.0% ? 9.1% Very comfor t 45.5% e 27.3% 18.2% y - that you can t 1 10 Response DateR Jun 30 2023 0 I r tters raised in thi	10 wer per rc 2 1 1 0 0 0 0 0 1 1 1 1 1 1 1 1 1 1 1 1	9.1% Somewhat 0.0% 9.1% 9.1% 9.1% 0.0% Somewhat c 36.4% 27.3% 36.4% that could (a) f that could (b) f that could be	of an issue 0 1 1 1 0 omfortable 4 3 4 welp or (b) im irres multiple verifying and	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1% 9.1% pede a smooth parties slow a publishing targ	trable (transition of the second sec	Don' 0.0% 2.9.1% 2.0.0% 4.0.0% 4.0.0% 1.18.2% 1.27.3% n to T+1 on Mar r state of reading or readiness from	know () () () () () () () () () () () () ()	0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% 2 18.2% 8 9.1% 50, please elab	Answered plicable 3 4 7 8 6 Answered plicable 2 2 2 1 Answered orate below.	Total 11 11 11 11 11 11 11 11 11 1		n a timely
there (please specify) 16. How worried are you regarding the following industry challenges? (Please 16. How worried are you regarding the following industry challenges? (Please 16. How worried are you regarding the following industry challenges? (Please 16. How worried are you regarding the following industry challenges? (Please 16. How worried are you for tades by 3:59 a.m. on T+1 (pending CSA approval) 11. eing able to confirm 90% of trades by 3:59 a.m. on T+1 (pending CSA approval) 12. ave the ETF create/redeem process resolved? 12. a value to settle trades denominated in foreign currencies other than USD on T+1: 12. the confortable are you that: (Please select one answer per row) 13. our infrastructure, service providers/vendors will smoothly handle the transition to T+1? (plutter firms in the industry will smoothly handle the transition to T+1? (plutter firms in the industry will smoothly handle the transition to T+1? (plutter (please specify)) 18. Is there anything else – whether in your firm, other firms, or in the industry inswered Kipped Respondent ID 14357276459 Please provide us with any other comments that you wish with respect to main	2: 90.9% select one answ Major iss 18.2% 9.1% 0.0% 9.1% 2.3% Very comfor t 45.5% e 27.3% 18.2% 2.4% 18.2% 18.2% 0.0% 2.1% 0.0% 18.2% 9.1% 0.0% 18.2% 18.3%	10 wer per rr 2 1 1 0 0 0 0 0 0 1 1 1 1 trtable 5 3 3 2 2 trtable think of t tesponsee	9.1% Somewhat (0.0% 9.1% 9.1% 9.1% 9.1% 0.0% Somewhat (0.0% 27.3% 36.4% 27.3% 36.4% that could (a) f that could (a) f that could (a) f that could (a) f that could (a) f	of an issue 0 1 1 1 0 omfortable 4 3 4 welp or (b) im irres multiple verifying and	0.0% Not an is 54.55% 45.45% 18.18% 36.36% Not comfo 0.0% 9.1% 9.1% 9.1% pede a smooth parties slow a publishing targ	trable (transition of the second sec	Don' 0.0% 2.9.1% 2.0.0% 4.0.0% 4.0.0% 1.18.2% 1.27.3% n to T+1 on Mar r state of reading or readiness from	know () () () () () () () () () () () () ()	0 0.0% Not ap 0 27.3% 0 36.4% 63.6% 0 72.7% 0 54.6% 2 18.2% 8 9.1% 50, please elab	Answered plicable 3 4 7 8 6 Answered plicable 2 2 2 1 Answered orate below.	Total 11 11 11 11 11 11 11 11 11 1		n a timely