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| **T+2 Readiness – May 2016**  |
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**Thank you for replying to the first CCMA T+2 readiness survey.**

**Please complete and submit this survey by Friday, June 3.  The purpose of the survey, which should take only 2-3 minutes to complete, is to find out where you think your firm is in terms of the T+2 project; to provide a baseline against which to measure future industry progress; to help educate industry players; and to help effectively plan the direction of future CCMA industry efforts.  For this reason, it is essential for every affected industry representative to respond candidly to these questions.  All individual responses will be kept strictly confidential and only overall results will be communicated to the community.**

**\* 1. Please choose from this dropdown list the industry segment for which you are responding for:**

⬜ Buy Side – Investment fund manager, portfolio manager, asset manager

⬜ Sell Side – Broker/dealer – IIROC

⬜ Sell Side – Broker/dealer – MFDA

⬜ Custodian

⬜ Marketplace, Fundserv, CDS

⬜ Service provider or vendor

Please elaborate if you wish. 

**\* 2. What size company best describes the company you work for?**

⬜ Very small (less than 10 staff/equivalents)

⬜ Small (11-99 staff/equivalents)

⬜ Medium (100-499 employees/equivalent

⬜ Large (500+ employees/equivalents)s)

Please elaborate if you wish. 

**\* 3. In your view, are appropriately senior people in your organization aware of:
(please select one answer per question)**

|  | **Yes** | **Somewhat/partly** | **No** | **Don't know**  | **Not applicable** |
| --- | --- | --- | --- | --- | --- |
| **i. T+2 implications for your firm?**  |  |  |  |  |  |
| **ii. Three key industry-wide T+2 development and implementation dates (development to be completed, testing, cutover to T+2)?**  |  |  |  |  |  |
| **iii. Your firm’s current trade data entry and matching rates?**  |  |  |  |  |  |

Please elaborate if desired or enter N/A. 

**\* 4. Do you have a T+2...
*(please select one answer per question)***

|  | **Yes** | **Somewhat/partly** | **No** | **Don't Know** | **Not Applicable** |
| --- | --- | --- | --- | --- | --- |
| **i. Project manager/team?**  |  |  |  |  |  |
| **ii. Plan?**  |  |  |  |  |  |
| **iii. Budget?**  |  |  |  |  |  |

Please elaborate if desired or enter N/A. 

**\* 5. Has your firm:
*(please select one answer per question)***

|  | **Yes** | **Somewhat/partly** | **No** | **Don't know** | **Not applicable** |
| --- | --- | --- | --- | --- | --- |
| **i. Documented its business and systems process flows?**  |  |  |  |  |  |
| **ii. Analyzed the gap between its current and the desired T+2 state?**  |  |  |  |  |  |
| **iii. Reviewed the draft CCMA T+2 asset list?**  |  |  |  |  |  |
| **iv. Discussed what you will require with infrastructure service providers, vendors?**  |  |  |  |  |  |
| **v. Assessed the business impact of a shorter settlement cycle?**  |  |  |  |  |  |
| **vi. Determined business process changes (with timelines for communicating information) are needed to move to T+2 settlement?**  |  |  |  |  |  |

Please elaborate if you wish. 

**\* 6. How do you stay abreast of T+2 developments?
*(please check all that apply)***

Association(s) my firm/I belong to

CCMA committee(s)

CCMA website (www.ccma-acmc.ca)

CCMA newsletter

Event (seminar, session at a conference, etc.)

The UST2 website (www.UST2.com

Regulatory notices

Information from my legal and accounting professionals

Other:  please specify


**7. Please provide any ideas, questions, and comments that you wish, for example, specific guidance, tools/information or support you would like the CCMA to consider providing to help industry participants and stakeholders successfully adopt T+2 settlement, particular business issues, etc.**



**Thank you very much for taking the time to answer this survey.**

**If you have any additional questions or suggestions, or wish this survey to be sent to an additional person, please email info@ccma-acmc.ca.**