

Copy of T+1 Awareness Survey

* 1. Please select the industry segment you work for from the following list (**Note: If you have responsibility for more than one segment, please note this in the space provided for comments**):

- Buy-Side - Retail mutual, exchange-traded or segregated fund manager
- Buy-Side - Institutional investment fund manager, portfolio manager, asset manager, money manager
- Buy-side - Other
- Sell-Side/Distributor - Broker/dealer - IIROC-regulated
- Sell-Side/Distributor - Broker/dealer - MFDA-regulated
- Sell-Side/Distributor - Segregated fund/other agent - Provincially or federally regulated
- Custodian
- Transfer Agent
- Marketplace, Fundserv, CDS, CDCC
- Service Provider or Vendor

Please elaborate on your answer if you wish.

* 2. Which of the following measures of size best describes the company you work for?

- Very small (9 or fewer staff/equivalents)
- Small (10-99 staff/equivalents)
- Medium (100-499 employees/equivalent(s))
- Large (500+ employees/equivalent(s))

Please elaborate on your answer if you wish.

* 3. In your view, are the appropriate senior people in your organization aware of (**Note:** Please select one answer per question):

	Yes	Somewhat/partly	No	Don't know	Not applicable
T+1 implications for your firm?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The industry T+1 project timeline?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Your firm's current institutional trade processing data entry and matching rates?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please elaborate on your answer if you wish.

* 4. Does your firm have ... (**Note:** Please select one answer per question/row)

	Yes	Somewhat/partly	No	Don't know	Not applicable
a T+1 project manager?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
an appropriately resourced T+1 team?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
a high-level T+1 project plan?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
a T+1 budget for this year?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please elaborate on your answer if you wish.

* 5. Has your firm... (**Note:** Please select one answer per question/row):

	Yes	Somewhat/partly	No	Don't know	Not applicable
Documented business and systems process flows?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Analyzed the gap between the current T+2 and desired T+1 state?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Reviewed the draft CCMA T+1 asset list of investment products moving to a shorter settlement cycle?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assessed the business impact of a shorter settlement cycle?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Discussed T+1 with infrastructure providers, service bureaus, vendors, etc.?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please elaborate on your answer if you wish.

* 6. Are you or is your firm represented on one or more CCMA T+1 committee(s)?

Yes	No	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please elaborate on your answer if you wish.

* 7. In terms of complexity, how do you think migration to T+1 (one day after trade execution or transaction date) will compare to the September 5, 2017 transition from T+3 to T+2 settlement (**Note:** Please select one answer)?

Much less complex	Less complex	About the same	More complex	Much more complex	Hard to say at this point - I was involved in the T+3 to T+2 change	Don't know - I was not involved in T+3 to T+2 move
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please elaborate on your response if you wish.

* 8. Please select from the dropdown menu and rank what T+1 information channels you **(1) currently use** in order of frequency and **(2) prefer to receive** information from (**Note:** Please rank each option from the dropdown menu from 1 (most frequently used/preferred) to up to 5 (least frequent/least preferred):

1. I currently get T+1 information from:

2. I would prefer to get information from:

1. Most used/preferred	<input type="text"/>	<input type="text"/>
2. Second most	<input type="text"/>	<input type="text"/>
3. Third most	<input type="text"/>	<input type="text"/>
4. Fourth most	<input type="text"/>	<input type="text"/>
5. Fifth most	<input type="text"/>	<input type="text"/>

(e.g., RSS feeds, articles, U.S. T+1 website, legal/accounting advisors):

9. Please provide any ideas, questions, or comments you have regarding specific guidance, tools/information, or support you would like the CCMA to consider providing to help industry participants successfully adopt T+1 settlement; particular business issues; etc.

10. If you work in the Canadian capital markets and you'd like to be included in a draw for a \$50 gift certificate, please provide your name, firm/organization, and email address (the winner's name and company name will be announced in the CCMA's next newsletter; to be added to our newsletter list, please email us at info@ccma-acmc.ca).