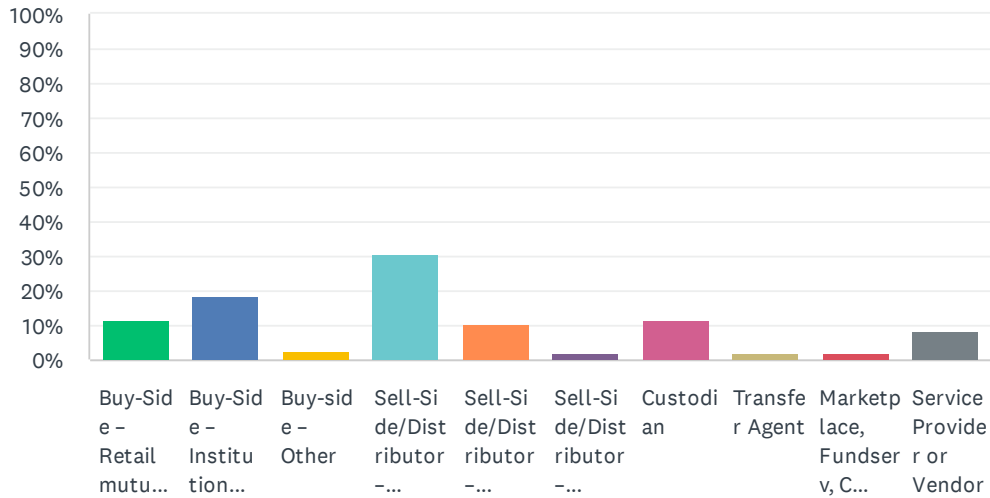


**Q1 Please select the industry segment you work for from the following list (Note: If you have responsibility for more than one segment, please note this in the space provided for comments):**

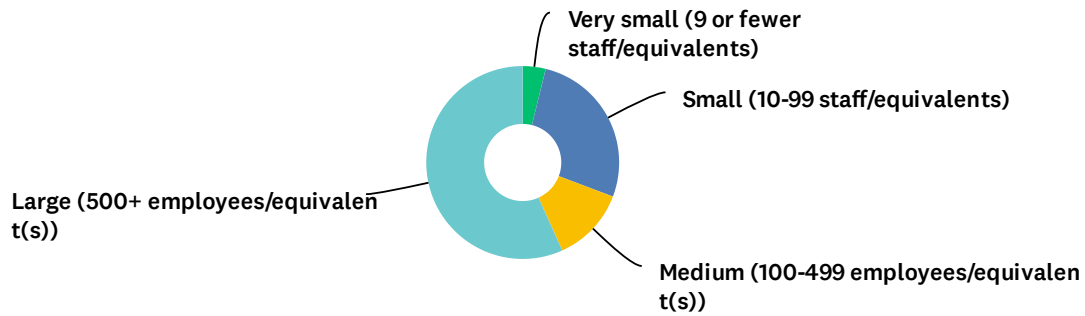
Answered: 104 Skipped: 0



ANSWER CHOICES	RESPONSES	
Buy-Side – Retail mutual, exchange-traded or segregated fund manager	11.54%	12
Buy-Side – Institutional investment fund manager, portfolio manager, asset manager, money manager	18.27%	19
Buy-side – Other	2.88%	3
Sell-Side/Distributor – Broker/dealer – IIROC-regulated	30.77%	32
Sell-Side/Distributor – Broker/dealer – MFDA-regulated	10.58%	11
Sell-Side/Distributor – Segregated fund/other agent – Provincially or federally regulated	1.92%	2
Custodian	11.54%	12
Transfer Agent	1.92%	2
Marketplace, Fundserv, CDS, CDCC	1.92%	2
Service Provider or Vendor	8.65%	9
Total Respondents: 104		

## Q2 Which of the following measures of size best describes the company you work for?

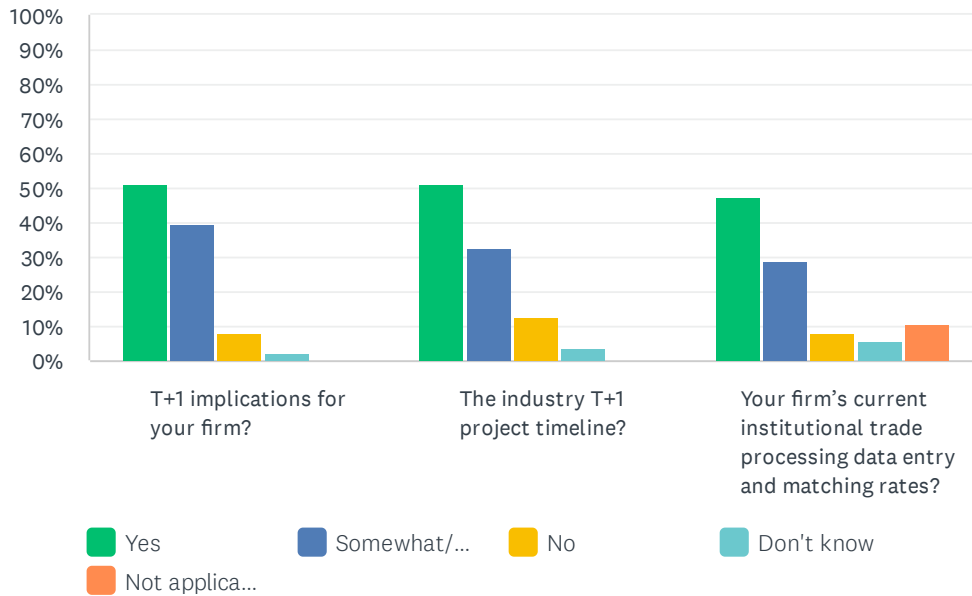
Answered: 104 Skipped: 0



ANSWER CHOICES	RESPONSES	
Very small (9 or fewer staff/equivalents)	3.85%	4
Small (10-99 staff/equivalents)	26.92%	28
Medium (100-499 employees/equivalent(s))	12.50%	13
Large (500+ employees/equivalent(s))	56.73%	59
<b>TOTAL</b>		<b>104</b>

### Q3 In your view, are the appropriate senior people in your organization aware of (Note: Please select one answer per question):

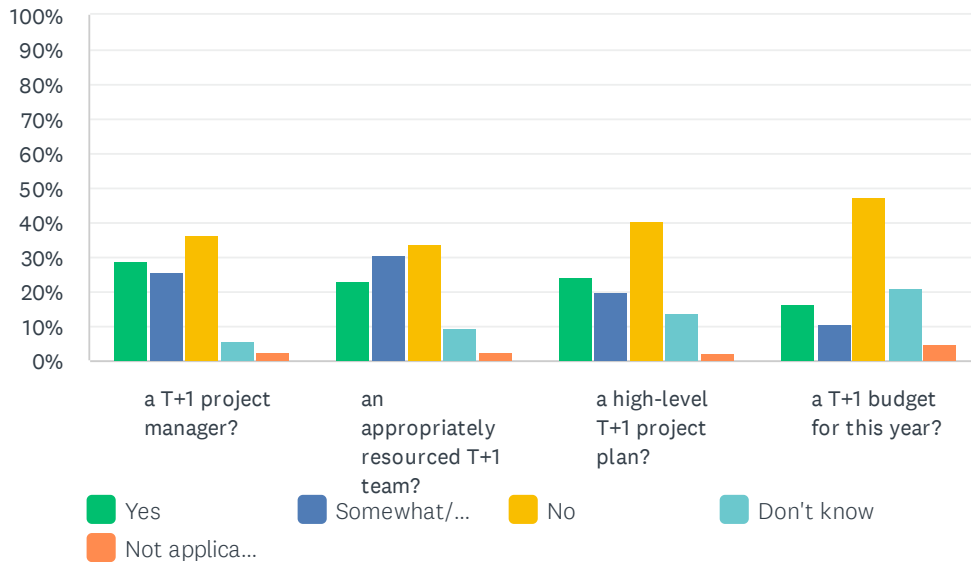
Answered: 104 Skipped: 0



	YES	SOMEWHAT/PARTLY	NO	DON'T KNOW	NOT APPLICABLE	TOTAL
T+1 implications for your firm?	50.96% 53	39.42% 41	7.69% 8	1.92% 2	0.00% 0	104
The industry T+1 project timeline?	50.96% 53	32.69% 34	12.50% 13	3.85% 4	0.00% 0	104
Your firm's current institutional trade processing data entry and matching rates?	47.12% 49	28.85% 30	7.69% 8	5.77% 6	10.58% 11	104

## Q4 Does your firm have ... (Note: Please select one answer per question/row)

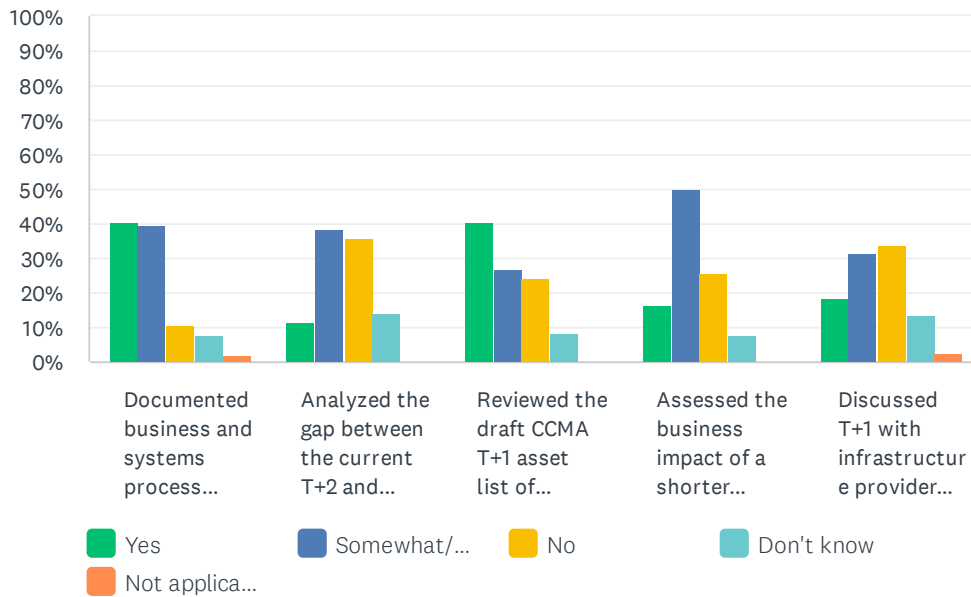
Answered: 104 Skipped: 0



	YES	SOMEWHAT/PARTLY	NO	DON'T KNOW	NOT APPLICABLE	TOTAL
a T+1 project manager?	28.85% 30	25.96% 27	36.54% 38	5.77% 6	2.88% 3	104
an appropriately resourced T+1 team?	23.08% 24	30.77% 32	33.65% 35	9.62% 10	2.88% 3	104
a high-level T+1 project plan?	24.04% 25	20.19% 21	40.38% 42	13.46% 14	1.92% 2	104
a T+1 budget for this year?	16.35% 17	10.58% 11	47.12% 49	21.15% 22	4.81% 5	104

### Q5 Has your firm... (Note: Please select one answer per question/row):

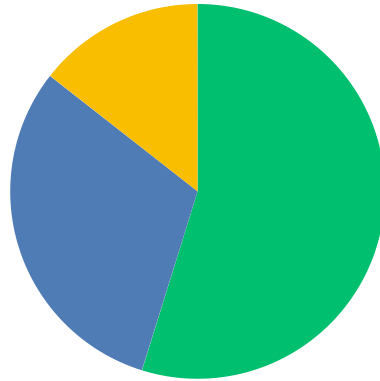
Answered: 104 Skipped: 0



	YES	SOMEWHAT/PARTLY	NO	DON'T KNOW	NOT APPLICABLE	TOTAL
Documented business and systems process flows?	40.38% 42	39.42% 41	10.58% 11	7.69% 8	1.92% 2	104
Analyzed the gap between the current T+2 and desired T+1 state?	11.54% 12	38.46% 40	35.58% 37	14.42% 15	0.00% 0	104
Reviewed the draft CCMA T+1 asset list of investment products moving to a shorter settlement cycle?	40.38% 42	26.92% 28	24.04% 25	8.65% 9	0.00% 0	104
Assessed the business impact of a shorter settlement cycle?	16.35% 17	50.00% 52	25.96% 27	7.69% 8	0.00% 0	104
Discussed T+1 with infrastructure providers, service bureaus, vendors, etc.?	18.27% 19	31.73% 33	33.65% 35	13.46% 14	2.88% 3	104

## Q6 Are you or is your firm represented on one or more CCMA T+1 committee(s)?

Answered: 104 Skipped: 0

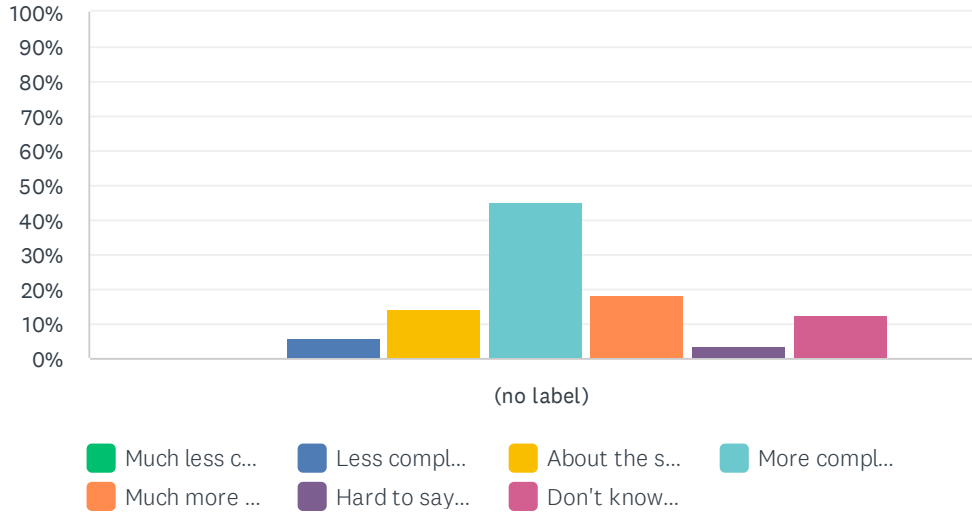


■ Yes
 ■ No
 ■ Don't know

	YES	NO	DON'T KNOW	TOTAL	WEIGHTED AVERAGE
(no label)	54.81% 57	30.77% 32	14.42% 15	104	1.00

Q7 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)?

Answered: 104 Skipped: 0



	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	TOTAL	WEIGHTED AVERAGE
(no label)	0.00% 0	5.77% 6	14.42% 15	45.19% 47	18.27% 19	3.85% 4	12.50% 13	104	1.00

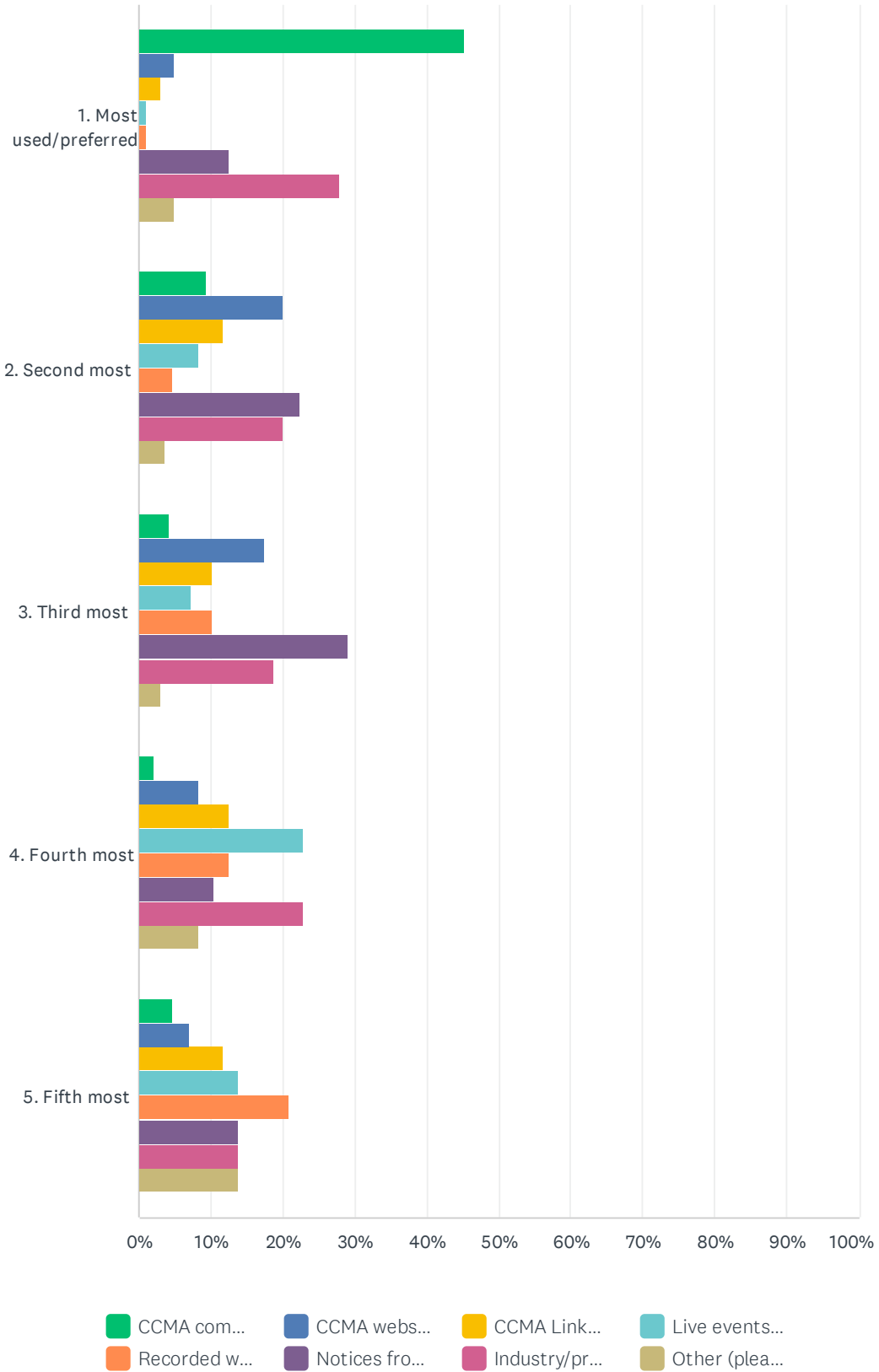
Q8 Please select from the dropdown menu and rank what T+1 information channels you (1) currently use in order of frequency and (2) prefer to receive information from (Note: Please rank each option from the dropdown menu from 1 (most frequently used/preferred) to up to 5 (least frequent/least preferred):

Answered: 104 Skipped: 0



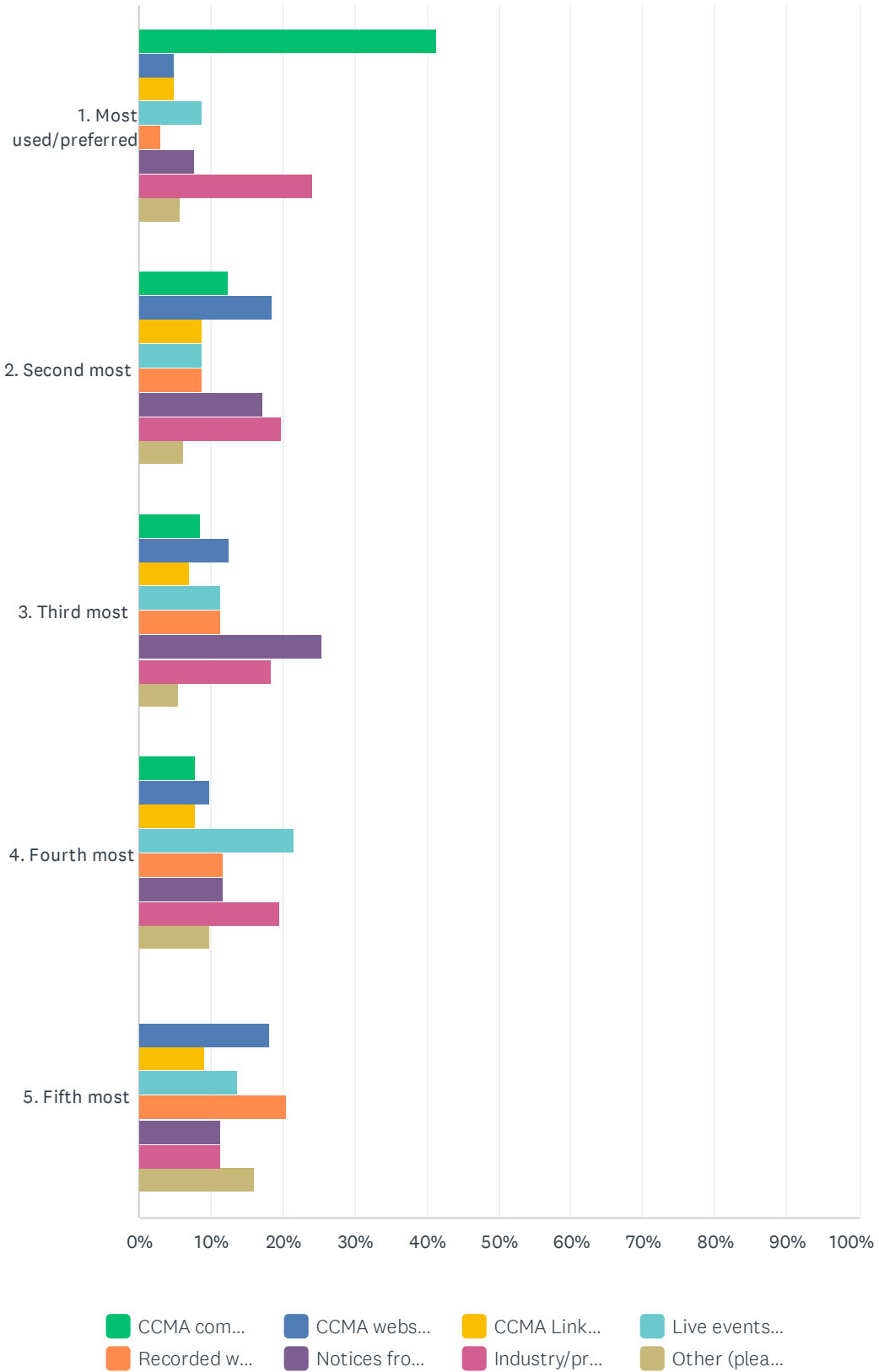
# CCMA T+1 Awareness Survey

## 1. I currently get T+1 information from:



# CCMA T+1 Awareness Survey

## 2. I would prefer to get information from:



## CCMA T+1 Awareness Survey

1. I currently get T+1 information from:						
	CCMA COMMITTEE(S) AND/OR MEETING MINUTES	CCMA WEBSITE (WWW.CCMA-ACMC.CA)	CCMA LINKEDIN AND/OR NEWSLETTER	LIVE EVENTS OFFERED BY THE CCMA OR OTHERS	RECORDED WEBINARS/PODCASTS	NOTICES FROM SERVICE PROVIDERS/VEND
1. Most used/preferred	45.19% 47	4.81% 5	2.88% 3	0.96% 1	0.96% 1	12.
2. Second most	9.41% 8	20.00% 17	11.76% 10	8.24% 7	4.71% 4	22.
3. Third most	4.35% 3	17.39% 12	10.14% 7	7.25% 5	10.14% 7	28.
4. Fourth most	2.08% 1	8.33% 4	12.50% 6	22.92% 11	12.50% 6	10.
5. Fifth most	4.65% 2	6.98% 3	11.63% 5	13.95% 6	20.93% 9	13.
2. I would prefer to get information from:						
	CCMA COMMITTEE(S) AND/OR MEETING MINUTES	CCMA WEBSITE (WWW.CCMA-ACMC.CA)	CCMA LINKEDIN AND/OR NEWSLETTER	LIVE EVENTS OFFERED BY THE CCMA OR OTHERS	RECORDED WEBINARS/PODCASTS	NOTICES FROM SERVICE PROVIDERS/VEND
1. Most used/preferred	41.35% 43	4.81% 5	4.81% 5	8.65% 9	2.88% 3	7.
2. Second most	12.35% 10	18.52% 15	8.64% 7	8.64% 7	8.64% 7	17.
3. Third most	8.45% 6	12.68% 9	7.04% 5	11.27% 8	11.27% 8	25.
4. Fourth most	7.84% 4	9.80% 5	7.84% 4	21.57% 11	11.76% 6	11.
5. Fifth most	0.00% 0	18.18% 8	9.09% 4	13.64% 6	20.45% 9	11.

Q9 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.

Answered: 29 Skipped: 75

Q10 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](mailto:info@ccma-acmc.ca)).

Answered: 29 Skipped: 75