



Rollover MIG v2 Version Scenarios

Rules / Principles

The following rules/principles have been put together as a starting point for discussion. The scenarios in this pack have been developed to validate these rules:

1. The obligation is on the sending solution (trustee or their service provider by agreement) to send in the correct version when new requests are initiated
2. The FVS will show only the highest certification (ROLL1.0-X OR ROLL2.0-X) which will indicate that lower version messages can be accepted (until Rule 10 occurs)
3. Gateways will natively pass messages in the version they are received (They might provide value add services to their customers that differ from this but only on agreement)
4. Receivers **must** be able to distinguish between v1 & v2 and process accordingly. The Service Value in the ebMS header will provide this information
5. Senders including ATO **must** check the FVS for what version the receiver can cater for
6. Senders **must** send in the highest version available to **BOTH** the sender and receiver. E.g. if one is on v1 and the other on v2, then send in v1, but if both are on v2, then send in v2.
7. Response messages to any request **must** be in the version of that request (ie. paired IRRv1/IRERv1 and RTRv2/RTORv2)
8. An RTR **must** not be in a lower version than the initiating request, but may be higher than the initiating request (this is covered by rule 6.) – Eg. IRRv2 /RTRv1 is not allowed, IRRv1/RTRv2 is okay
9. All receivers **must** be able to receive v2 prior to any v1 close out activity. This will be indicated on the FVS.
10. Rule 9 will result in a soft close out for v1 i.e. v1 just stops and receivers don't have to implement an error for v1 messages at a point in time

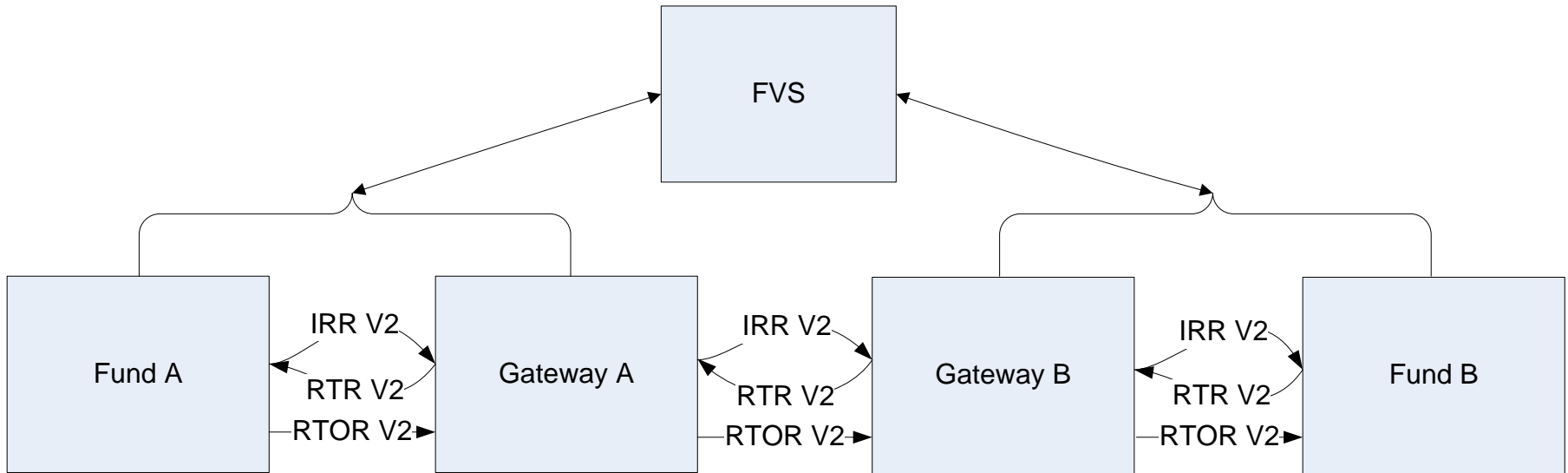
Note: 'Sender' refers to the sending solution for initiating new requests – not the sender of response messages. Sending solution refers to the Fund and any service providers involved in the solution.



Assumptions:

- These scenarios relate to the transition period where both versions need to be supported. Where v2 is indicated in the scenarios, v1 is also supported.
- FVS will either be called by the Funds and/or the Gateways, depending on the agreement between the Fund and Gateway.

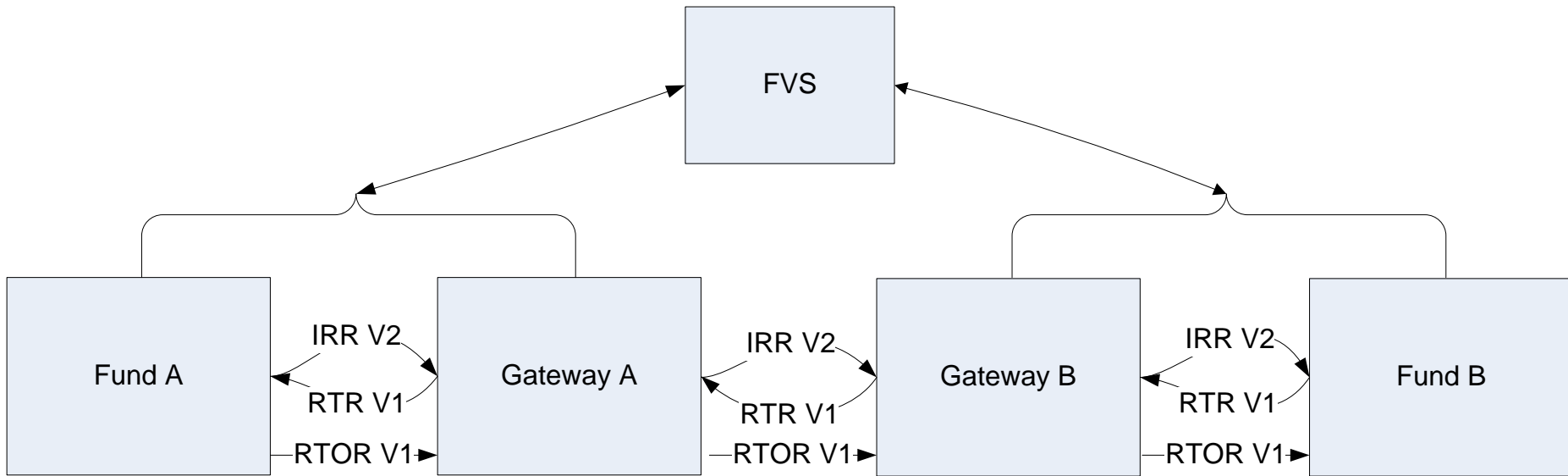
Scenario 1 – Both Fund A and Fund B V1 & V2 compliant



Notes

- FVS will be called either by the Funds or the Gateways, depending on the agreement between the Fund and Gateway. As per Rule 1, the obligation is on the sending solution to send in the correct version.
- Fund B would use the FVS to determine which version to send the RTR in, because IRR and RTR are not linked
- Fund A would use the Service Value in the RTR to determine what value to send the RTOR in.

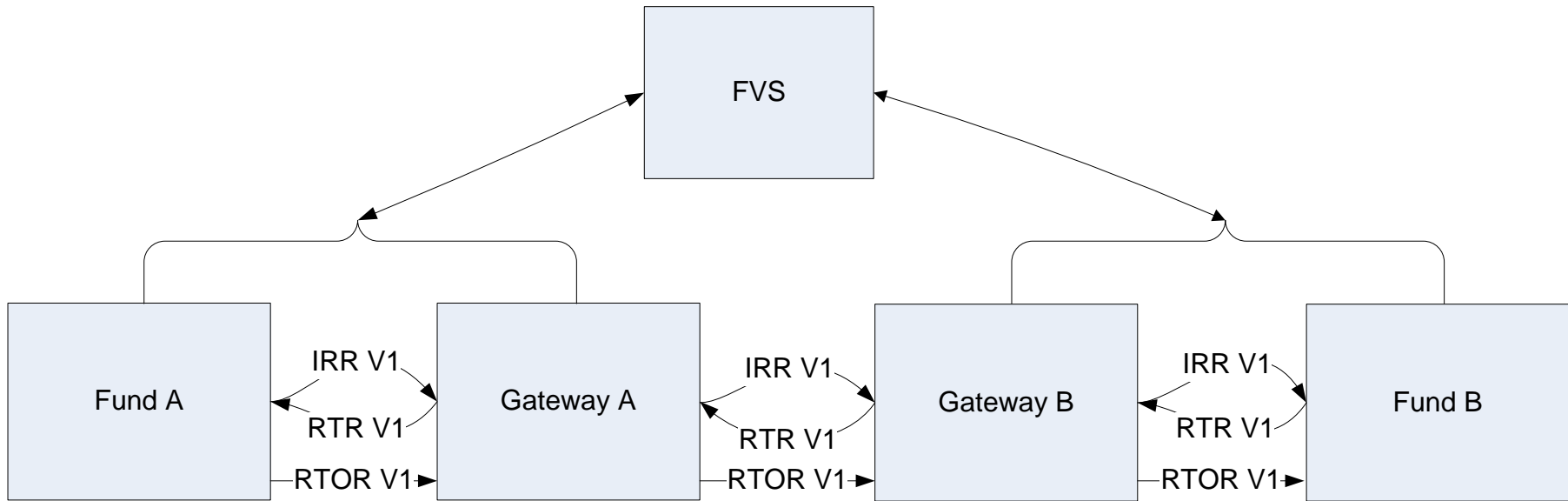
Scenario 1A – Incorrect Scenario – Both funds V2 compliant
(Ref Rule/Principle number 4)



Notes

- RTR should have been sent in v2 due to Rule 5.
- Trustee decision to accept or reject (If it is sent in v1 in error, trustee would most likely process providing it is before v1 is closed out), with an option to send a Warning message in the RTOR – new generic warning message required for this
- The RTOR would be sent in v1 because Fund A would use the Service Value in the RTR to determine what version to send the RTOR in.

Scenario 2 – Fund A V2 & Fund B V1

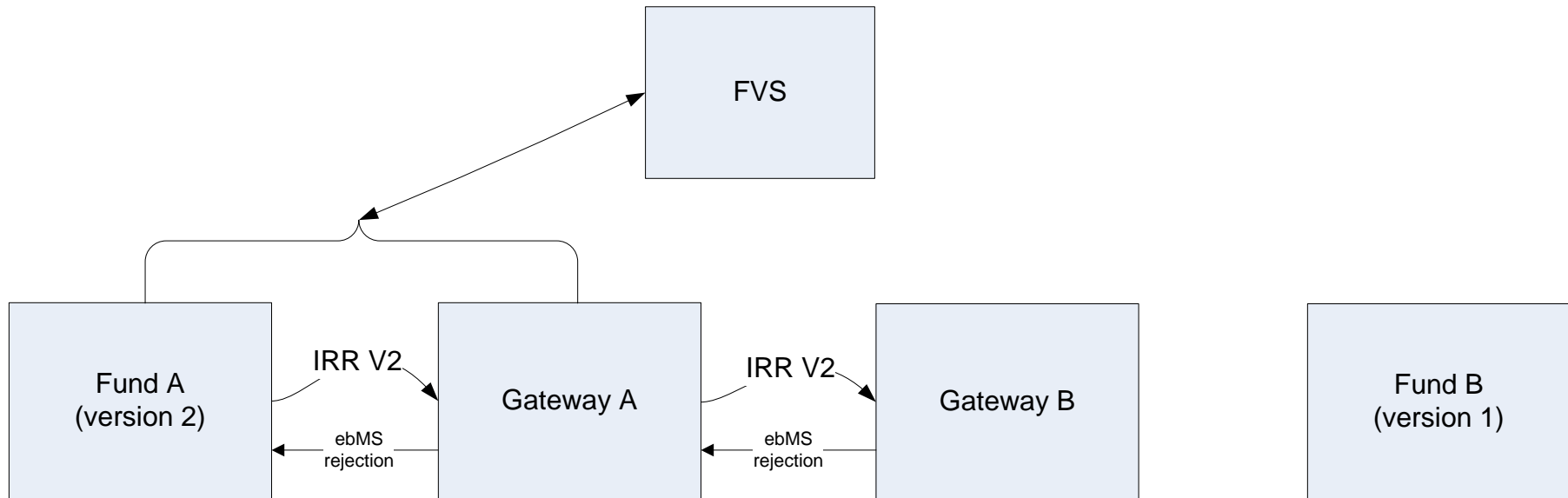


All the combinations below would result in the same mapping above

Scenario combinations:

- Fund A V1 & Fund B V1
- Fund A V2 & Fund B V1
- Fund A V1 & Fund B V2

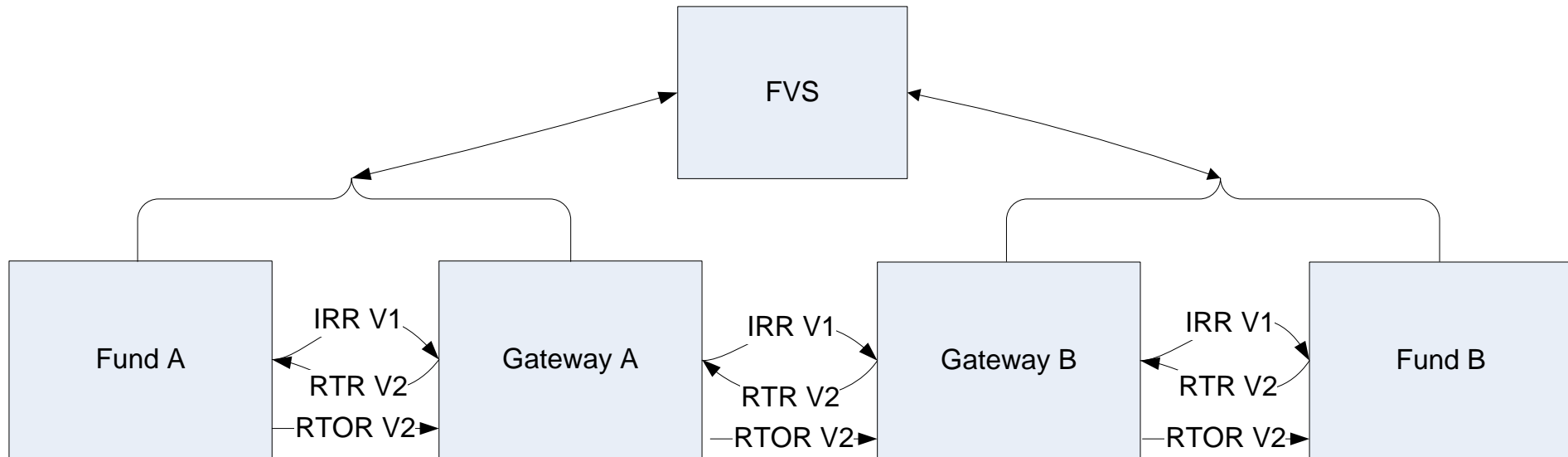
Scenario 2A – Fund A V2 & Fund B V1 – incorrect versioning



Notes

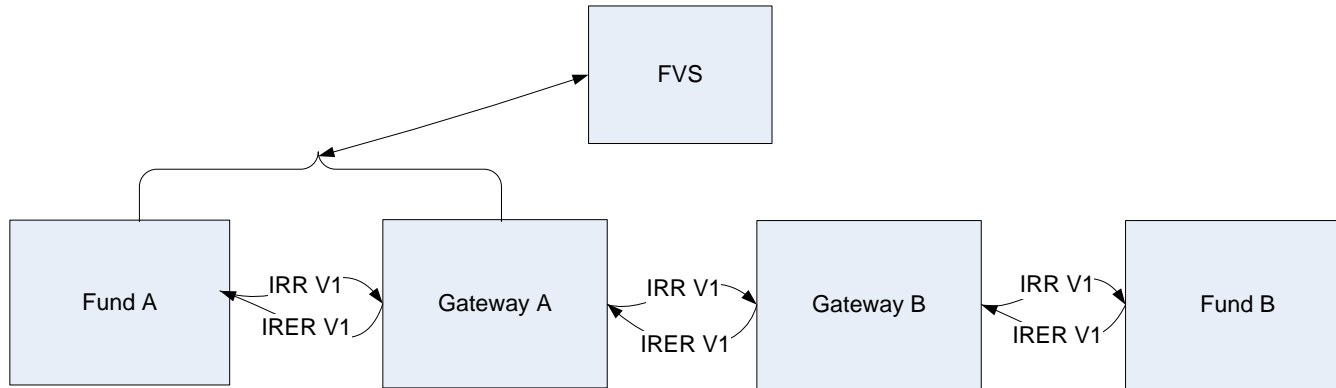
- IRR should be sent in V1 as Fund B is not ready to accept V2.
- Gateway would most likely reject with a technical ebMS message – because that Service Value won't be registered as a valid Service Value.
- Depending on the agreement between the Fund and the Gateway, as per Rule 1, the validation should be done at Gateway A and rejected by Gateway A. Gateway B should still have validations in place in the event that Gateway A doesn't reject for some reason.

Scenario 3 – Fund A V1 & Fund B V2 – Fund A moves to V2 post sending IRR
(Ref: Rule/Principle number 4 & 6)



Notes

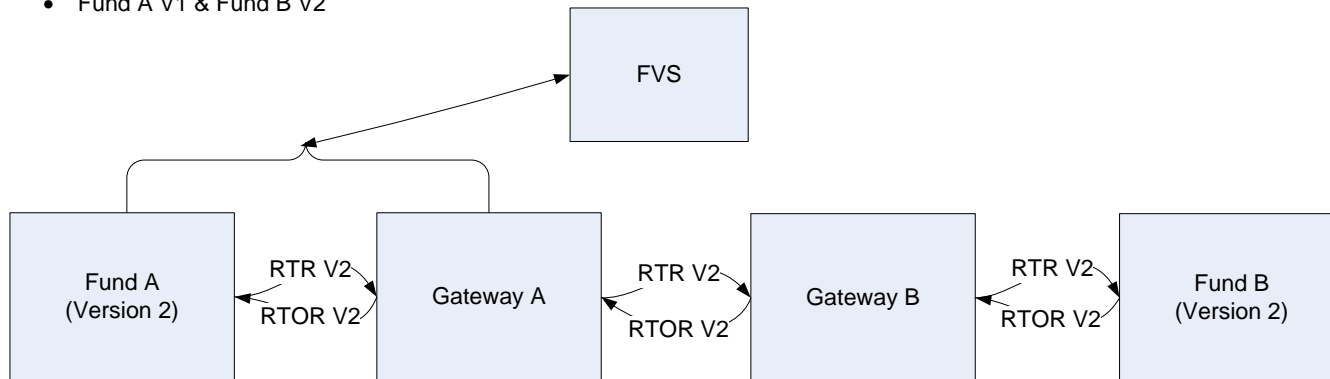
- RTR is sent in V2 because it is sent in the highest version that both Fund A and Fund B can accept.
- RTR does not need to be in the same version as the IRR because the transactions are not linked.
- Can IRR and RTR be reconciled if they are in different versions? – no change to current process
- Fund B would use the FVS to determine the version the RTR is sent in
- Fund A would use the Service Action to determine the version the RTOR is sent in.



All the combinations below would result in the same mapping above:

Scenario combinations:

- Fund A V1 & Fund B V1
- Fund A V2 & Fund B V1
- Fund A V1 & Fund B V2



Notes

- Fund B would use the Service Value in both cases to determine the version the IRER/RTOR is sent in.