

## Summary table of CPMI-IOSCO Level 2 assessment principle ratings by jurisdiction and FMI type

CC	FMI type	P1	P2	P3	P4	P5	P6	P7	P8	P9	P10	P11	P12	P13	P14	P15	P16	P17	P18	P19	P20	P21	P22	P23	P24
<a href="#">AU</a>	PS																								
	CSD/SSS																								
	CCP																								
	TR																								
<a href="#">BR</a>	PS																								
	CSD/SSS																								
	CCP																								
	TR																								
<a href="#">CA</a>	PS																								
	CSD/SSS																								
	CCP																								
	TR																								
<a href="#">CH</a>	PS																								
	CSD/SSS																								
	CCP																								
	TR																								
<a href="#">EU</a>	PS																								
	CSD/SSS																								
	CCP	EU and NA																							
		Select NCBs																							
	TR																								
<a href="#">HK</a>	PS																								
	CSD/SSS																								
	CCP																								
	TR																								
<a href="#">JP</a>	CCP																								
	TR																								
<a href="#">SE</a>	PS																								

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<a href="#">SG</a>	PS																								
	CSD/SSS																								
	CCP																								
	TR																								
<a href="#">TR</a>	PS																								
	CSD																								
	SSS																								
	CCP																								
	TR																								
<a href="#">US</a>	<a href="#">PS</a>	FRB																							
	<a href="#">CSD/SSS</a>	SEC																							
		FRB																							
	<a href="#">CCP</a>	CFTC																							
		SEC																							
		FRB																							
	<a href="#">TR</a>	CFTC																							
		SEC																							

**Country codes (CC):** AU = Australia; BR = Brazil; CA = Canada; CH = Switzerland; EU = European Union; HK = Hong Kong SAR; JP = Japan; SE = Sweden; SG = Singapore; CH=Switzerland; TR = Turkey; US = United States.

**FMI types:** PS = payment system; CSD = central securities depository; SSS = securities settlement system; CCP = central counterparty; TR = trade repository.

**Principles:** P1: Legal basis; P2: Governance; P3: Framework for the comprehensive management of risks; P4: Credit risk; P5: Collateral; P6: Margin; P7: Liquidity risk; P8: Settlement finality; P9: Money settlements; P10: Physical deliveries; P11: Central securities depositories; P12: Exchange-of-value settlement systems; P13: Participant default rules and procedures; P14: Segregation and portability; P15: General business risk; P16: Custody and investment risks; P17: Operational risk; P18: Access and participation requirements; P19: Tiered participation arrangements; P20: FMI links; P21: Efficiency and effectiveness; P22: Communication procedures and standards; P23: Disclosure of rules, key procedures and market data; P24: Disclosure of market data by trade depositories.

**Principle ratings:**

	Consistent
	Broadly consistent
	Partly consistent
	Not consistent
	Not applicable to jurisdiction
	Not applicable to FMI type