

## 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	
AU	PS	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Grey	Grey	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	CSD/SSS	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Grey	Grey	Green	Green	Grey	Yellow	Green	Green	Green	Green	Green	Green	Yellow	Yellow	Green	Green
	CCP	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green
	TR	Yellow	Yellow	Green	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Yellow	Grey	Yellow	Green	Green	Green	Yellow	Green	Green	Green	Green
BR	PS	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Grey	Grey	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	CSD/SSS	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	CCP	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	TR	Green	Green	Green	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green
CA	PS	Green	Green	Green	Green	Green	Grey	Orange	Green	Green	Grey	Grey	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	CSD/SSS	Green	Green	Green	Green	Green	Grey	Orange	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	CCP	Green	Green	Green	Green	Green	Green	Orange	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	TR	Yellow	Orange	Green	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Yellow	Grey	Green	Green	Red	Red	Red	Green	Green	Green	Green
EU	CCP	EU and NA	Green	Yellow	Yellow	Orange	Green	Green	Green	Yellow	Green	Grey	Green	Yellow	Green	Orange	Green	Green	Green	Green	Green	Green	Orange	Green	Orange	
		Select NCBS	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green
	TR	Orange	Yellow	Orange	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Orange	Grey	Yellow	Green	Yellow	Yellow	Orange	Green	Orange	Green	
HK	PS	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Grey	Grey	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	CSD/SSS	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	CCP	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	TR	Green	Green	Green	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	
JP	CCP	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	TR	Green	Green	Green	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	
SG	PS	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Grey	Grey	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	CSD/SSS	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	CCP	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	TR	Green	Green	Green	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Green	Grey	Green	Green	Green	Green	Green	Green	Green	Green	
CH	PS	Green	Yellow	Green	Green	Green	Grey	Orange	Green	Green	Grey	Grey	Green	Yellow	Grey	Green	Yellow	Green	Green	Orange	Grey	Yellow	Red	Green	Green	
	CSD/SSS	Green	Yellow	Green	Green	Green	Grey	Orange	Green	Green	Green	Green	Green	Yellow	Grey	Yellow	Yellow	Green	Green	Orange	Grey	Yellow	Red	Green	Green	
	CCP	Green	Green	Green	Green	Green	Green	Orange	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	
	TR	Orange	Yellow	Orange	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Grey	Orange	Grey	Orange	Green	Yellow	Orange	Yellow	Orange	Green	Orange	

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	
TR	PS	Consistent	Consistent	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Not applicable to jurisdiction	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Consistent	
	CSD	Broadly consistent	Broadly consistent	Partly consistent	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Partly consistent	Consistent	Not applicable to jurisdiction	Not applicable to jurisdiction	Partly consistent	Partly consistent	Partly consistent	Consistent	Partly consistent	Partly consistent	Partly consistent	Partly consistent	Partly consistent	Partly consistent	
	SSS	Consistent	Consistent	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	
	CCP	Consistent	Consistent	Broadly consistent	Broadly consistent	Broadly consistent	Consistent	Consistent	Broadly consistent	Consistent	Partly consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Broadly consistent	Consistent	Consistent	Consistent	Partly consistent	Consistent	Consistent	Consistent	Consistent	
	TR	Consistent	Consistent	Partly consistent	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Partly consistent	Not applicable to jurisdiction	Consistent	Partly consistent	Partly consistent	Broadly consistent	Consistent	Partly consistent	Consistent	
US	PS	FRB	Consistent	Consistent	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Consistent	
		SEC	Consistent	Consistent	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	
	CSD/SSS	FRB	Consistent	Consistent	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	
		CFTC	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Broadly consistent	Consistent	Consistent	Consistent	Not applicable to jurisdiction	Partly consistent	Consistent	Consistent	Consistent	Broadly consistent	Consistent	Consistent	Consistent	Broadly consistent	Consistent	Consistent	Consistent	
	CCP	SEC	Consistent	Broadly consistent	Broadly consistent	Consistent	Consistent	Consistent	Broadly consistent	Broadly consistent	Partly consistent	Consistent	Not applicable to jurisdiction	Consistent	Consistent	Broadly consistent	Consistent	Broadly consistent	Partly consistent	Consistent	Consistent	Broadly consistent	Broadly consistent	Consistent	Consistent	
		FRB	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Broadly consistent	Consistent	Consistent	Consistent	Consistent	Consistent	Broadly consistent	Consistent	Consistent	Consistent	
	TR	CFTC	Partly consistent	Partly consistent	Partly consistent	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Partly consistent	Not applicable to jurisdiction	Partly consistent	Partly consistent	Partly consistent	Partly consistent	Broadly consistent	Partly consistent	Consistent
		SEC	Partly consistent	Partly consistent	Partly consistent	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Not applicable to jurisdiction	Partly consistent	Partly consistent	Partly consistent	Partly consistent	Partly consistent	Partly consistent	Broadly consistent	Consistent

**Country codes (CC):** AU = Australia; BR = Brazil; CA = Canada; CH = Switzerland; EU = European Union; HK = Hong Kong SAR; JP = Japan; 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	Consistent
Broadly consistent	Broadly consistent
Partly consistent	Partly consistent
Not consistent	Not consistent
Not applicable to jurisdiction	Not applicable to jurisdiction
Not applicable to FMI type	Not applicable to FMI type