

ISO 20022

Shareholders Identification Disclosure - Maintenance 2022 - 2023

Message Definition Report Part 2

Approved by the Securities SEG on 19 January 2023

This document provides details of the Message Definitions for Shareholders Identification Disclosure - Maintenance 2022 - 2023.

February 2023

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1 Message Set Overview

1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

| MessageDefinition | Definition |
|---|--|
| head.001.001.02 BusinessApplicationHeaderV02 | <p>The Business Layer deals with Business Messages. The behaviour of the Business Messages is fully described by the Business Transaction and the structure of the Business Messages is fully described by the Message Definitions and related Message Rules, Rules and Market Practices. All of which are registered in the ISO 20022 Repository.</p> <p>A single new Business Message (with its accompanying business application header) is created - by the sending MessagingEndpoint - for each business event; that is each interaction in a Business Transaction. A Business Message adheres to the following principles:</p> <p>" A Business Message (and its business application header) must not contain information about the Message Transport System or the mechanics or mechanism of message sending, transportation, or receipt.</p> <p>" A Business Message must be comprehensible outside of the context of the Transport Message. That is the Business Message must not require knowledge of the Transport Message to be understood.</p> <p>" A Business Message may contain headers, footers, and envelopes that are meaningful for the business. When present, they are treated as any other message content, which means that they are considered part of the Message Definition of the Business Message and as such will be part of the ISO 20022 Repository.</p> <p>" A Business Message refers to Business Actors by their Name. Each instance of a Business Actor has one Name. The Business Actor must not be referred to in the Transport Layer.</p> <p>Specific usage of this BusinessMessageHeader may be defined by the relevant SEG.</p> |
| seev.045.001.04 ShareholdersIdentificationDisclosureRequestV04 | <p>The ShareholdersIdentificationDisclosureRequest message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to request the disclosure of shareholders identity and provides information on the receiving party to whom responses must be sent, on the financial instrument concerned and on the deadline to respond.</p> |
| seev.046.001.01 ShareholdersIdentificationDisclosureRequestCancellationAdviceV01 | <p>The ShareholdersIdentificationDisclosureCancellationAdvice message is sent by an issuer or by a third party</p> |

| MessageDefinition | Definition |
|---|---|
| | nominated by the issuer (such as an issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to withdraw/ cancel the disclosure request of shareholders identity previously sent. |
| seev.047.001.02 ShareholdersIdentificationDisclosureResponseV02 | The ShareholdersIdentificationDisclosureResponse message is sent in response to a shareholder identification disclosure request message by any intermediaries to the recipient designated by the issuer (such as an issuer's agent) in the disclosure request message in order to provide the requested information on the identity of the shareholders and their accounts holdings serviced by the intermediary for the requested financial instrument. |
| seev.048.001.01 ShareholderIdentificationDisclosureResponseCancellationAdviceV01 | The ShareholdersIdentificationDisclosureResponseCancellationAdvice message is sent by any intermediaries to the recipient designated by the issuer (such as an issuer's agent) in the disclosure request message in order to cancel the shareholder identification disclosure response whether previously sent in a single message or in a set of multipart/paginated response messages. |
| seev.049.001.01 ShareholderIdentificationDisclosureResponseStatusAdviceV01 | <p>The ShareholdersIdentificationDisclosureResponseStatusAdvice message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the intermediary in a custody chain in response to a ShareholderIdentificationDisclosureResponse message or in response to a multipart response report (sent with pagination in multiple messages) in order to report about the acceptance status of the received ShareholderIdentificationDisclosureResponse message/report.</p> <p>Usage: when the shareholder identification disclosure response is sent in a multipart response report (with several messages), a single response status advice only may be sent for the acceptance status of the whole report.</p> |
| semt.001.001.04 SecuritiesMessageRejectionV04 | <p>An account servicer, for example, a registrar, transfer agent, first intermediary or custodian bank, sends the SecuritiesMessageRejection message to the sender (for example account owner, an investor, an issuer or its authorised agent), to reject a previously received message on which action cannot be taken.</p> <p>The message may also be sent by an executing party, for example, transfer agent to the instructing party, for example, investment manager or its authorised representative to reject a previously received message on which action cannot be taken.</p> |

2 **head.001.001.02 BusinessApplicationHeaderV02**

2.1 **MessageDefinition Functionality**

The Business Layer deals with Business Messages. The behaviour of the Business Messages is fully described by the Business Transaction and the structure of the Business Messages is fully described by the Message Definitions and related Message Rules, Rules and Market Practices. All of which are registered in the ISO 20022 Repository.

A single new Business Message (with its accompanying business application header) is created - by the sending MessagingEndpoint - for each business event; that is each interaction in a Business Transaction. A Business Message adheres to the following principles:

" A Business Message (and its business application header) must not contain information about the Message Transport System or the mechanics or mechanism of message sending, transportation, or receipt.

" A Business Message must be comprehensible outside of the context of the Transport Message. That is the Business Message must not require knowledge of the Transport Message to be understood.

" A Business Message may contain headers, footers, and envelopes that are meaningful for the business. When present, they are treated as any other message content, which means that they are considered part of the Message Definition of the Business Message and as such will be part of the ISO 20022 Repository.

" A Business Message refers to Business Actors by their Name. Each instance of a Business Actor has one Name. The Business Actor must not be referred to in the Transport Layer.

Specific usage of this BusinessMessageHeader may be defined by the relevant SEG.

Outline

The BusinessApplicationHeaderV02 MessageDefinition is composed of 14 MessageBuildingBlocks:

A. CharSet

Contains the character set of the text-based elements used in the Business Message.

B. From

The sending MessagingEndpoint that has created this Business Message for the receiving MessagingEndpoint that will process this Business Message.

Note the sending MessagingEndpoint might be different from the sending address potentially contained in the transport header (as defined in the transport layer).

C. To

The MessagingEndpoint designated by the sending MessagingEndpoint to be the recipient who will ultimately process this Business Message.

Note the receiving MessagingEndpoint might be different from the receiving address potentially contained in the transport header (as defined in the transport layer).

D. BusinessMessageIdentifier

Unambiguously identifies the Business Message to the MessagingEndpoint that has created the Business Message.

E. MessageDefinitionIdentifier

Contains the MessageIdentifier that defines the BusinessMessage.

It must contain a MessageIdentifier published on the ISO 20022 website.

example camt.001.001.03.

F. BusinessService

Specifies the business service agreed between the two MessagingEndpoints under which rules this Business Message is exchanged.

To be used when there is a choice of processing services or processing service levels.

Example: E&I.

G. MarketPractice

Specifies the market practice to which the message conforms. The market practices are a set of rules agreed between parties that restricts the usage of the messages in order to achieve better STP (Straight Through Processing) rates.

A market practice specification may also extend the underlying message specification by using extensions or supplementary data of this underlying message.

H. CreationDate

Date and time when this Business Message (header) was created.

I. BusinessProcessingDate

Processing date and time indicated by the sender for the receiver of the business message. This date may be different from the date and time provided in the CreationDate.

Usage: Market practice or bilateral agreement should specify how this element should be used.

J. CopyDuplicate

Indicates whether the message is a Copy, a Duplicate or a copy of a duplicate of a previously sent ISO 20022 Message.

K. PossibleDuplicate

Flag indicating if the Business Message exchanged between the MessagingEndpoints is possibly a duplicate.

If the receiving MessagingEndpoint did not receive the original, then this Business Message should be processed as if it were the original.

If the receiving MessagingEndpoint did receive the original, then it should perform necessary actions to avoid processing this Business Message again.

This will guarantee business idempotent behaviour.

NOTE: this is named "PossResend" in FIX - this is an application level resend not a network level retransmission.

L. Priority

Relative indication of the processing precedence of the message over a (set of) Business Messages with assigned priorities.

M. Signature

Contains the digital signature of the Business Entity authorised to sign this Business Message.

N. Related

Specifies the Business Application Header(s) of the Business Message(s) to which this Business Message relates.

Can be used when replying to a query; can also be used when canceling or amending.

2.2 Structure

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|-------------------|-------------|------|
| | Message root <Document> <AppHdr> | [1..1] | | C5 | |
| | | | | | |
| | CharacterSet <CharSet> | [0..1] | CodeSet | C6 | 11 |
| | From <Fr> | [1..1] | | | 11 |
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 11 |
| Or} | FinancialInstitutionIdentification <FIId> | [1..1] | ± | | 12 |
| | To <To> | [1..1] | | | 12 |
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 12 |
| Or} | FinancialInstitutionIdentification <FIId> | [1..1] | ± | | 12 |
| | BusinessMessageIdentifier <BizMsgIdr> | [1..1] | Text | | 13 |
| | MessageDefinitionIdentifier <MsgDefIdr> | [1..1] | Text | | 13 |
| | BusinessService <BizSvc> | [0..1] | Text | | 13 |
| | MarketPractice <MktPrctc> | [0..1] | | | 13 |
| | Registry <Regy> | [1..1] | Text | | 14 |
| | Identification <Id> | [1..1] | Text | | 14 |
| | CreationDate <CreDt> | [1..1] | DateTime | | 14 |
| | BusinessProcessingDate <BizPrccDt> | [0..1] | DateTime | | 14 |
| | CopyDuplicate <CpyDplct> | [0..1] | CodeSet | | 14 |
| | PossibleDuplicate <PssblDplct> | [0..1] | Indicator | | 15 |
| | Priority <Prty> | [0..1] | CodeSet | C7 | 15 |
| | Signature <Sgntr> | [0..1] | (External Schema) | | 16 |
| | Related <Rltd> | [0..*] | | | 16 |
| | CharacterSet <CharSet> | [0..1] | CodeSet | C6 | 17 |
| | From <Fr> | [1..1] | | | 17 |
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 17 |
| Or} | FinancialInstitutionIdentification <FIId> | [1..1] | ± | | 17 |
| | To <To> | [1..1] | | | 18 |
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 18 |
| Or} | FinancialInstitutionIdentification <FIId> | [1..1] | ± | | 18 |
| | BusinessMessageIdentifier <BizMsgIdr> | [1..1] | Text | | 19 |
| | MessageDefinitionIdentifier <MsgDefIdr> | [1..1] | Text | | 19 |

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---------------------------------------|--------|-------------------|-------------|------|
| | BusinessService <BizSvc> | [0..1] | Text | | 19 |
| | CreationDate <CreDt> | [1..1] | DateTime | | 19 |
| | CopyDuplicate <CpyDplct> | [0..1] | CodeSet | | 19 |
| | PossibleDuplicate <PssblDplct> | [0..1] | Indicator | | 20 |
| | Priority <Prty> | [0..1] | CodeSet | C7 | 20 |
| | Signature <Sgntr> | [0..1] | (External Schema) | | 21 |

2.3 Constraints

C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

C2 BICFI

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

C3 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

C4 OnlySignatureElement

The XML Signature namespace ("http://www.w3.org/2000/09/xmldsig#") allows for different XML elements to be root elements. This means the user has to choose amongst these global elements which one to use as the root element. Only the XML element Signature is allowed.

C5 RelatedPresentWhenCopyDupl

Related MUST contain the relevant BusinessMessageHeader elements of the BusinessMessage to which this BusinessMessage relates.

If CopyDuplicate is present, then Related MUST be present.

```
On Condition
  /CopyDuplicate is present
Following Must be True
  /Related[1] Must be present
```

This constraint is defined at the MessageDefinition level.

C6 ValidationByTable

C7 ValidationByTable

2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

2.4.1 CharacterSet <CharSet>

Presence: [0..1]

Definition: Contains the character set of the text-based elements used in the Business Message.

Impacted by: C6 "ValidationByTable"

Datatype: "UnicodeChartsCode" on page 172

Constraints

- **ValidationByTable**

2.4.2 From <Fr>

Presence: [1..1]

Definition: The sending MessagingEndpoint that has created this Business Message for the receiving MessagingEndpoint that will process this Business Message.

Note the sending MessagingEndpoint might be different from the sending address potentially contained in the transport header (as defined in the transport layer).

From <Fr> contains one of the following **Party44Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 11 |
| Or} | FinancialInstitutionIdentification <FIId> | [1..1] | ± | | 12 |

2.4.2.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "PartyIdentification135" on page 113 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
| | Name <Nm> | [0..1] | Text | | 113 |
| | PostalAddress <PstlAdr> | [0..1] | ± | | 113 |
| | Identification <Id> | [0..1] | ± | | 114 |
| | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C2 | 114 |
| | ContactDetails <CtctDtls> | [0..1] | ± | | 115 |

2.4.2.2 FinancialInstitutionIdentification <FIld>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIld> contains the following elements (see "[BranchAndFinancialInstitutionIdentification6](#)" on page 99 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
| | FinancialInstitutionIdentification <FinInstnId> | [1..1] | ± | | 99 |
| | BranchIdentification <BrnchId> | [0..1] | ± | | 100 |

2.4.3 To <To>

Presence: [1..1]

Definition: The MessagingEndpoint designated by the sending MessagingEndpoint to be the recipient who will ultimately process this Business Message.

Note the receiving MessagingEndpoint might be different from the receiving address potentially contained in the transport header (as defined in the transport layer).

To <To> contains one of the following **Party44Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 12 |
| Or} | FinancialInstitutionIdentification <FIld> | [1..1] | ± | | 12 |

2.4.3.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "[PartyIdentification135](#)" on page 113 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
| | Name <Nm> | [0..1] | Text | | 113 |
| | PostalAddress <PstlAdr> | [0..1] | ± | | 113 |
| | Identification <Id> | [0..1] | ± | | 114 |
| | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C2 | 114 |
| | ContactDetails <CtctDtls> | [0..1] | ± | | 115 |

2.4.3.2 FinancialInstitutionIdentification <FIld>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see "BranchAndFinancialInstitutionIdentification6" on page 99 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
| | FinancialInstitutionIdentification <FinInstnId> | [1..1] | ± | | 99 |
| | BranchIdentification <BrnchId> | [0..1] | ± | | 100 |

2.4.4 BusinessMessageIdentifier <BizMsgIdr>

Presence: [1..1]

Definition: Unambiguously identifies the Business Message to the MessagingEndpoint that has created the Business Message.

Datatype: "Max35Text" on page 177

2.4.5 MessageDefinitionIdentifier <MsgDefIdr>

Presence: [1..1]

Definition: Contains the MessageIdentifier that defines the BusinessMessage.

It must contain a MessageIdentifier published on the ISO 20022 website.

example camt.001.001.03.

Datatype: "Max35Text" on page 177

2.4.6 BusinessService <BizSvc>

Presence: [0..1]

Definition: Specifies the business service agreed between the two MessagingEndpoints under which rules this Business Message is exchanged.

To be used when there is a choice of processing services or processing service levels.

Example: E&I.

Datatype: "Max35Text" on page 177

2.4.7 MarketPractice <MktPrctc>

Presence: [0..1]

Definition: Specifies the market practice to which the message conforms. The market practices are a set of rules agreed between parties that restricts the usage of the messages in order to achieve better STP (Straight Through Processing) rates.

A market practice specification may also extend the underlying message specification by using extensions or supplementary data of this underlying message.

MarketPractice <MktPrctc> contains the following **ImplementationSpecification1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|------|-------------|------|
| | Registry <Regy> | [1..1] | Text | | 14 |
| | Identification <Id> | [1..1] | Text | | 14 |

2.4.7.1 Registry <Regy>

Presence: [1..1]

Definition: Name of the implementation specification registry in which the implementation specification of the ISO 20022 message is maintained.

For example, "MyStandards".

Datatype: "Max350Text" on page 176

2.4.7.2 Identification <Id>

Presence: [1..1]

Definition: Identifier which unambiguously identifies, within the implementation specification registry, the implementation specification to which the ISO 20022 message is compliant. This can be done via a URN. It can also contain a version number or date.

For instance, "2018-01-01 - Version 2" or "urn:uuid:6e8bc430-9c3a-11d9-9669-0800200c9a66".

Datatype: "Max2048Text" on page 176

2.4.8 CreationDate <CreDt>

Presence: [1..1]

Definition: Date and time when this Business Message (header) was created.

Datatype: "ISODateTime" on page 172

2.4.9 BusinessProcessingDate <BizPrcgDt>

Presence: [0..1]

Definition: Processing date and time indicated by the sender for the receiver of the business message. This date may be different from the date and time provided in the CreationDate.

Usage: Market practice or bilateral agreement should specify how this element should be used.

Datatype: "ISODateTime" on page 172

2.4.10 CopyDuplicate <CpyDplct>

Presence: [0..1]

Definition: Indicates whether the message is a Copy, a Duplicate or a copy of a duplicate of a previously sent ISO 20022 Message.

Datatype: "CopyDuplicate1Code" on page 165

| CodeName | Name | Definition |
|----------|---------------|--|
| CODU | CopyDuplicate | Message is being sent as a copy to a party other than the account owner, for information purposes and the message is a duplicate of a message previously sent. |
| COPY | Copy | Message is being sent as a copy to a party other than the account owner, for information purposes. |
| DUPL | Duplicate | Message is for information/confirmation purposes. It is a duplicate of a message previously sent. |

2.4.11 PossibleDuplicate <PssbIDp1ct>

Presence: [0..1]

Definition: Flag indicating if the Business Message exchanged between the MessagingEndpoints is possibly a duplicate.

If the receiving MessagingEndpoint did not receive the original, then this Business Message should be processed as if it were the original.

If the receiving MessagingEndpoint did receive the original, then it should perform necessary actions to avoid processing this Business Message again.

This will guarantee business idempotent behaviour.

NOTE: this is named "PossResend" in FIX - this is an application level resend not a network level retransmission.

Datatype: One of the following values must be used (see ["YesNoIndicator" on page 174](#)):

- *Meaning When True:* Yes
- *Meaning When False:* No

2.4.12 Priority <Prty>

Presence: [0..1]

Definition: Relative indication of the processing precedence of the message over a (set of) Business Messages with assigned priorities.

Impacted by: [C7 "ValidationByTable"](#)

Datatype: ["BusinessMessagePriorityCode" on page 165](#)

Constraints

- **ValidationByTable**

2.4.13 Signature <Sgntr>

Presence: [0..1]

Definition: Contains the digital signature of the Business Entity authorised to sign this Business Message.

Type: (External Schema)

The W3C XML Schema that specifies following standard signature:

XML Signature Syntax and Processing (Second Edition) W3C Recommendation 10 June 2008

<http://www.w3.org/TR/2008/REC-xmlsig-core-20080610/>.

2.4.14 Related <Rltd>

Presence: [0..*]

Definition: Specifies the Business Application Header(s) of the Business Message(s) to which this Business Message relates.

Can be used when replying to a query; can also be used when canceling or amending.

Related <Rltd> contains the following **BusinessApplicationHeader5** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|-------------------|-------------|------|
| | CharacterSet <CharSet> | [0..1] | CodeSet | C6 | 17 |
| | From <Fr> | [1..1] | | | 17 |
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 17 |
| Or} | FinancialInstitutionIdentification <FIId> | [1..1] | ± | | 17 |
| | To <To> | [1..1] | | | 18 |
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 18 |
| Or} | FinancialInstitutionIdentification <FIId> | [1..1] | ± | | 18 |
| | BusinessMessageIdentifier <BizMsgIdr> | [1..1] | Text | | 19 |
| | MessageDefinitionIdentifier <MsgDefIdr> | [1..1] | Text | | 19 |
| | BusinessService <BizSvc> | [0..1] | Text | | 19 |
| | CreationDate <CreDt> | [1..1] | DateTime | | 19 |
| | CopyDuplicate <CpyDplct> | [0..1] | CodeSet | | 19 |
| | PossibleDuplicate <PssblDplct> | [0..1] | Indicator | | 20 |
| | Priority <Prty> | [0..1] | CodeSet | C7 | 20 |
| | Signature <Sgntr> | [0..1] | (External Schema) | | 21 |

2.4.14.1 CharacterSet <CharSet>

Presence: [0..1]

Definition: Contains the character set of the text-based elements used in the Business Message.

Impacted by: C6 "ValidationByTable"

Datatype: "UnicodeChartsCode" on page 172

Constraints

- **ValidationByTable**

2.4.14.2 From <Fr>

Presence: [1..1]

Definition: The sending MessagingEndpoint that has created this Business Message for the receiving MessagingEndpoint that will process this Business Message.

Note the sending MessagingEndpoint might be different from the sending address potentially contained in the transport header (as defined in the transport layer).

From <Fr> contains one of the following **Party44Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 17 |
| Or} | FinancialInstitutionIdentification <FIId> | [1..1] | ± | | 17 |

2.4.14.2.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "PartyIdentification135" on page 113 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
| | Name <Nm> | [0..1] | Text | | 113 |
| | PostalAddress <PstlAdr> | [0..1] | ± | | 113 |
| | Identification <Id> | [0..1] | ± | | 114 |
| | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C2 | 114 |
| | ContactDetails <CtctDtls> | [0..1] | ± | | 115 |

2.4.14.2.2 FinancialInstitutionIdentification <FIId>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIld> contains the following elements (see "BranchAndFinancialInstitutionIdentification6" on page 99 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
| | FinancialInstitutionIdentification <FinInstnId> | [1..1] | ± | | 99 |
| | BranchIdentification <BrnchId> | [0..1] | ± | | 100 |

2.4.14.3 To <To>

Presence: [1..1]

Definition: The MessagingEndpoint designated by the sending MessagingEndpoint to be the recipient who will ultimately process this Business Message.

Note the receiving MessagingEndpoint might be different from the receiving address potentially contained in the transport header (as defined in the transport layer).

To <To> contains one of the following **Party44Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|------|-------------|------|
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 18 |
| Or} | FinancialInstitutionIdentification <FIld> | [1..1] | ± | | 18 |

2.4.14.3.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Identification of a person or an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "PartyIdentification135" on page 113 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
| | Name <Nm> | [0..1] | Text | | 113 |
| | PostalAddress <PstlAdr> | [0..1] | ± | | 113 |
| | Identification <Id> | [0..1] | ± | | 114 |
| | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C2 | 114 |
| | ContactDetails <CtctDtls> | [0..1] | ± | | 115 |

2.4.14.3.2 FinancialInstitutionIdentification <FIld>

Presence: [1..1]

Definition: Identification of a financial institution.

FinancialInstitutionIdentification <FIId> contains the following elements (see "BranchAndFinancialInstitutionIdentification6" on page 99 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
| | FinancialInstitutionIdentification <FinInstnId> | [1..1] | ± | | 99 |
| | BranchIdentification <BrnchId> | [0..1] | ± | | 100 |

2.4.14.4 BusinessMessageIdentifier <BizMsgIdr>

Presence: [1..1]

Definition: Unambiguously identifies the Business Message to the MessagingEndpoint that has created the Business Message.

Datatype: "Max35Text" on page 177

2.4.14.5 MessageDefinitionIdentifier <MsgDefIdr>

Presence: [1..1]

Definition: Contains the MessageIdentifier that defines the BusinessMessage.

It must contain a MessageIdentifier published on the ISO 20022 website.

example camt.001.001.03.

Datatype: "Max35Text" on page 177

2.4.14.6 BusinessService <BizSvc>

Presence: [0..1]

Definition: Specifies the business service agreed between the two MessagingEndpoints under which rules this Business Message is exchanged.

To be used when there is a choice of processing services or processing service levels.

Example: E&I.

Datatype: "Max35Text" on page 177

2.4.14.7 CreationDate <CreDt>

Presence: [1..1]

Definition: Date and time when this Business Message (header) was created.

Note Times must be normalized, using the "Z" annotation.

Datatype: "ISODatetime" on page 172

2.4.14.8 CopyDuplicate <CpyDplct>

Presence: [0..1]

Definition: Indicates whether the message is a Copy, a Duplicate or a copy of a duplicate of a previously sent ISO 20022 Message.

Datatype: "CopyDuplicate1Code" on page 165

| CodeName | Name | Definition |
|----------|---------------|--|
| CODU | CopyDuplicate | Message is being sent as a copy to a party other than the account owner, for information purposes and the message is a duplicate of a message previously sent. |
| COPY | Copy | Message is being sent as a copy to a party other than the account owner, for information purposes. |
| DUPL | Duplicate | Message is for information/confirmation purposes. It is a duplicate of a message previously sent. |

2.4.14.9 PossibleDuplicate <PssbIDplct>

Presence: [0..1]

Definition: Flag indicating if the Business Message exchanged between the MessagingEndpoints is possibly a duplicate.

If the receiving MessagingEndpoint did not receive the original, then this Business Message should be processed as if it were the original.

If the receiving MessagingEndpoint did receive the original, then it should perform necessary actions to avoid processing this Business Message again.

This will guarantee business idempotent behaviour.

NOTE: this is named "PossResend" in FIX - this is an application level resend not a network level retransmission.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 174):

- *Meaning When True:* Yes
- *Meaning When False:* No

2.4.14.10 Priority <Prty>

Presence: [0..1]

Definition: Relative indication of the processing precedence of the message over a (set of) Business Messages with assigned priorities.

Impacted by: C7 "ValidationByTable"

Datatype: "BusinessMessagePriorityCode" on page 165

Constraints

- **ValidationByTable**

2.4.14.11 Signature <Sgntr>

Presence: [0..1]

Definition: Contains the digital signature of the Business Entity authorised to sign this Business Message.

Type: (External Schema)

The W3C XML Schema that specifies following standard signature:

XML Signature Syntax and Processing (Second Edition) W3C Recommendation 10 June 2008

<http://www.w3.org/TR/2008/REC-xmlsig-core-20080610/>.

3 **seev.045.001.04**

ShareholdersIdentificationDisclosureRequestV04

3.1 **MessageDefinition Functionality**

The ShareholdersIdentificationDisclosureRequest message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to request the disclosure of shareholders identity and provides information on the receiving party to whom responses must be sent, on the financial instrument concerned and on the deadline to respond.

Outline

The ShareholdersIdentificationDisclosureRequestV04 MessageDefinition is composed of 17 MessageBuildingBlocks:

A. IssuerDisclosureRequestIdentification

Official and unique identification assigned to a shareholder identification disclosure request process by the issuer or third party nominated by it.

B. DisclosureRequestType

Specifies the type of disclosure request.

C. PreviousDisclosureRequestIdentification

Identification of a previously sent shareholder identification disclosure request message.

D. ForwardRequestIndicator

Indicates whether the request is to be forwarded to and responded by the other intermediaries down the chain of intermediaries or not. If the request is not to be forwarded, the indicator may not be present.

E. ResponseThroughChainIndicator

Indicates whether the shareholder identification disclosure response is to be sent back down the chain of intermediaries or directly to the identified response recipient.

If "true" or "1", the response must be sent back through the chain of intermediaries.

If "false" or "0" or if the indicator is not present, the response must be sent directly to the identified response recipient.

F. ShareholderRightsDirectiveIndicator

Indicates whether the request was initiated by the first intermediary in the custody chain in accordance with SRD II.

G. PlaceOfJurisdiction

Governing law or place of jurisdiction where the disclosure request relates to.

H. ApplicableLaw

Identification of the law which relates to the disclosure request.

-
- I. FinancialInstrumentIdentification
Identifies the financial instrument.
 - J. ShareholdersDisclosureRecordDate
Date set by the issuer on which the shareholders identity is determined based on the settled positions struck in the books of the issuer CSD or any other first intermediary at the close of business day.
 - K. SharesQuantityThreshold
Minimum number of shares held by a shareholder above which the identification must be disclosed.
 - L. RequestShareHeldDate
Indicates whether the date from which the shares have been held must be communicated into the disclosure response and according to which method these dates have to be communicated. The method can be provided either with a predefined code or via a textual description.
 - M. DisclosureResponseRecipient
Issuer or third party nominated by the issuer to whom the disclosure response shall be transmitted by the intermediary.
 - N. IssuerDisclosureDeadline
Latest date/time set by the issuer or a third party appointed by the issuer at which a response to the request to disclose shareholder identity shall be provided by each intermediary to the recipient to whom the response must be sent.
 - O. DisclosureResponseDeadline
Latest date/time set by an intermediary at which a response to the request to disclose shareholder identity shall be provided when sending the response through the chain of intermediaries.
 - P. Issuer
Issuer of the financial instrument.
 - Q. SupplementaryData
Additional information that can not be captured in the structured fields and/or any other specific block.

3.2 Structure

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|-----------|--------------------|------|
| | Message root <Document> <ShrhldrslDscslrReq> | [1..1] | | C9 | |
| | IssuerDisclosureRequestIdentification <IssrDscslrReqId> | [1..1] | Text | | 25 |
| | DisclosureRequestType <DscslrReqTp> | [1..1] | CodeSet | | 25 |
| | PreviousDisclosureRequestIdentification <PrvsDscslrReqId> | [0..1] | Text | | 26 |
| | ForwardRequestIndicator <FwdReqInd> | [0..1] | Indicator | | 26 |
| | ResponseThroughChainIndicator <RspnThrhChainInd> | [0..1] | Indicator | | 26 |
| | ShareholderRightsDirectiveIndicator <ShrhldrRghtsDrctvInd> | [0..1] | Indicator | | 26 |
| | PlaceOfJurisdiction <PlcOfJursdctn> | [0..1] | CodeSet | C2 | 27 |
| | ApplicableLaw <AplblLaw> | [0..1] | Text | | 27 |
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | C3, C4, C5, C6, C7 | 27 |
| | ShareholdersDisclosureRecordDate <ShrhldrDscslrRcrdDt> | [1..1] | ± | | 28 |
| | SharesQuantityThreshold <ShrsQtyThrshld> | [0..1] | Quantity | | 28 |
| | RequestShareHeldDate <ReqShrHeldDt> | [0..1] | ± | | 29 |
| | DisclosureResponseRecipient <DscslrRspnRcpt> | [1..1] | ± | | 29 |
| | IssuerDisclosureDeadline <IssrDscslrDdln> | [1..1] | ± | | 30 |
| | DisclosureResponseDeadline <DscslrRspnDdln> | [0..1] | ± | | 31 |
| | Issuer <Issr> | [0..1] | ± | | 31 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C10 | 31 |

3.3 Constraints

C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

C3 DescriptionPresenceRule

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

C4 DescriptionUsageRule

Description must be used alone as the last resort.

C5 ISINGuideline

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C6 ISINPresenceRule

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

C7 OtherIdentificationPresenceRule

If OtherIdentification is not present then either ISIN or Description must be present.

C8 PartyAddressRule

At least one message element in the list (AnyBic, PostalAddress, EmailAddress, URLAddress) must be present. More than one message element in the list may be present.

C9 PreviousDisclosureRequestIdentificationRule

If DisclosureRequestType is REPL (Replacement), then PreviousDisclosureRequestIdentification must be present.

On Condition

/DisclosureRequestType is equal to value 'Replacement'

Following Must be True

/PreviousDisclosureRequestIdentification Must be present

This constraint is defined at the MessageDefinition level.

C10 SupplementaryDataRule

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

3.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

3.4.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

Presence: [1..1]

Definition: Official and unique identification assigned to a shareholder identification disclosure request process by the issuer or third party nominated by it.

Datatype: "Max35Text" on page 177

3.4.2 DisclosureRequestType <DsclsrReqTp>

Presence: [1..1]

Definition: Specifies the type of disclosure request.

Datatype: "DisclosureRequestType1Code" on page 167

| CodeName | Name | Definition |
|----------|-------------|---|
| NEWM | New | New disclosure request. |
| REPL | Replacement | Disclosure request replacing a previously sent request. |

3.4.3 PreviousDisclosureRequestIdentification <PrvsDsclsrReqId>

Presence: [0..1]

Definition: Identification of a previously sent shareholder identification disclosure request message.

Datatype: "Max35Text" on page 177

3.4.4 ForwardRequestIndicator <FwdReqInd>

Presence: [0..1]

Definition: Indicates whether the request is to be forwarded to and responded by the other intermediaries down the chain of intermediaries or not. If the request is not to be forwarded, the indicator may not be present.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 174):

- *Meaning When True:* Yes
- *Meaning When False:* No

3.4.5 ResponseThroughChainIndicator <RspnThrhChainInd>

Presence: [0..1]

Definition: Indicates whether the shareholder identification disclosure response is to be sent back down the chain of intermediaries or directly to the identified response recipient.

If "true" or "1", the response must be sent back through the chain of intermediaries.

If "false" or "0" or if the indicator is not present, the response must be sent directly to the identified response recipient.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 174):

- *Meaning When True:* Yes
- *Meaning When False:* No

3.4.6 ShareholderRightsDirectiveIndicator <ShrhldrRghtsDrctvInd>

Presence: [0..1]

Definition: Indicates whether the request was initiated by the first intermediary in the custody chain in accordance with SRD II.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 174):

- *Meaning When True:* Yes
- *Meaning When False:* No

3.4.7 PlaceOfJurisdiction <PlcOfJursdctn>

Presence: [0..1]

Definition: Governing law or place of jurisdiction where the disclosure request relates to.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 166

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

3.4.8 ApplicableLaw <AplblLaw>

Presence: [0..1]

Definition: Identification of the law which relates to the disclosure request.

Datatype: "Max140Text" on page 176

3.4.9 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

Impacted by: C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C7 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 101 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------------|--------|---------------|-------------|------|
| | ISIN <ISIN> | [0..1] | IdentifierSet | | 102 |
| | OtherIdentification <OthrId> | [0..*] | | | 102 |
| | Identification <Id> | [1..1] | Text | | 103 |
| | Suffix <Sfx> | [0..1] | Text | | 103 |
| | Type <Tp> | [1..1] | ± | | 103 |
| | Description <Desc> | [0..1] | Text | | 103 |

Constraints

- **DescriptionPresenceRule**

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

```

On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or    /OtherIdentification[*] Must be present

```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

```

On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or    /Description Must be present

```

- **OtherIdentificationPresenceRule**

If OtherIdentification is not present then either ISIN or Description must be present.

```

On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or    /Description Must be present

```

3.4.10 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

Presence: [1..1]

Definition: Date set by the issuer on which the shareholders identity is determined based on the settled positions struck in the books of the issuer CSD or any other first intermediary at the close of business day.

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see ["DateFormat46Choice"](#) on page 91 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | ± | | 91 |
| Or} | DateCode <DtCd> | [1..1] | | | 91 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 91 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 92 |

3.4.11 SharesQuantityThreshold <ShrsQtyThrshld>

Presence: [0..1]

Definition: Minimum number of shares held by a shareholder above which the identification must be disclosed.

Datatype: "DecimalNumber" on page 174

3.4.12 RequestShareHeldDate <ReqShrHeldDt>

Presence: [0..1]

Definition: Indicates whether the date from which the shares have been held must be communicated into the disclosure response and according to which method these dates have to be communicated. The method can be provided either with a predefined code or via a textual description.

RequestShareHeldDate <ReqShrHeldDt> contains one of the following elements (see "RequestShareHeldDate1Choice" on page 110 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------|-------------|------|
| {Or | DateCalculationMethod <DtClctnMtd> | [1..1] | CodeSet | | 110 |
| Or} | DateCalculationDescription <DtClctnDesc> | [1..1] | Text | | 110 |

3.4.13 DisclosureResponseRecipient <DsclsrRspnRcpt>

Presence: [1..1]

Definition: Issuer or third party nominated by the issuer to whom the disclosure response shall be transmitted by the intermediary.

DisclosureResponseRecipient <DsclsrRspnRcpt> contains the following elements (see "PartyIdentification214" on page 143 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | Identification <Id> | [1..1] | | | 144 |
| {Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 144 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 144 |
| | RecipientName <RcptNm> | [1..1] | Text | | 144 |
| | ResponseRecipientAddress <RspnRcptAdr> | [1..1] | | C8 | 144 |
| | AnyBIC <AnyBIC> | [0..1] | IdentifierSet | C2 | 145 |
| | PostalAddress <PstlAdr> | [0..1] | | | 146 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 146 |
| | AddressLine <AdrLine> | [0..5] | Text | | 146 |
| | StreetName <StrtNm> | [0..1] | Text | | 147 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 147 |
| | PostBox <PstBx> | [0..1] | Text | | 147 |
| | PostCode <PstCd> | [0..1] | Text | | 147 |
| | TownName <TwnNm> | [0..1] | Text | | 147 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 147 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 147 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 148 |
| | URLAddress <URLAdr> | [0..1] | Text | | 148 |

3.4.14 IssuerDisclosureDeadline <IssrDsclsrDdln>

Presence: [1..1]

Definition: Latest date/time set by the issuer or a third party appointed by the issuer at which a response to the request to disclose shareholder identity shall be provided by each intermediary to the recipient to whom the response must be sent.

IssuerDisclosureDeadline <IssrDsclsrDdln> contains one of the following elements (see "DateFormat46Choice" on page 91 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | ± | | 91 |
| Or} | DateCode <DtCd> | [1..1] | | | 91 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 91 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 92 |

3.4.15 DisclosureResponseDeadline <DsclsrRspnDdln>

Presence: [0..1]

Definition: Latest date/time set by an intermediary at which a response to the request to disclose shareholder identity shall be provided when sending the response through the chain of intermediaries.

DisclosureResponseDeadline <DsclsrRspnDdln> contains one of the following elements (see "DateFormat46Choice" on page 91 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | ± | | 91 |
| Or} | DateCode <DtCd> | [1..1] | | | 91 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 91 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 92 |

3.4.16 Issuer <Issr>

Presence: [0..1]

Definition: Issuer of the financial instrument.

Issuer <Issr> contains one of the following elements (see "PartyIdentification129Choice" on page 149 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 149 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 150 |
| Or | NameAndAddress <NmAndAdr> | [1..1] | ± | | 150 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 150 |

3.4.17 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that can not be captured in the structured fields and/or any other specific block.

Impacted by: C10 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 105 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
| | PlaceAndName <PlcAndNm> | [0..1] | Text | | 105 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 106 |

Constraints

- **SupplementaryDataRule**

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

4 seev.046.001.01 ShareholdersIdentificationDisclosureRequest CancellationAdviceV01

4.1 MessageDefinition Functionality

The ShareholdersIdentificationDisclosureCancellationAdvice message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the first intermediaries in a custody chain or is sent by any intermediaries in a custody chain to the next intermediary down the chain of intermediaries (towards the investor side of the chain) in order to withdraw/cancel the disclosure request of shareholders identity previously sent.

Outline

The ShareholdersIdentificationDisclosureRequestCancellationAdviceV01 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. IssuerDisclosureRequestReference

Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

B. CancellationReason

Provides the reason for cancelling the request for shareholders identification disclosure.

C. Issuer

Issuer of the financial instrument.

D. SupplementaryData

Additional information that can not be captured in the structured fields and/or any other specific block.

4.2 Structure

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|---------|--------------------|------|
| | Message root <Document> <ShrhldrsIdDsclsrReqCxlAdv> | [1..1] | | | |
| | IssuerDisclosureRequestReference <IssrDsclsrReqRef> | [1..1] | | | 34 |
| | IssuerDisclosureRequestIdentification <IssrDsclsrReqId> | [1..1] | Text | | 35 |
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | C3, C4, C5, C6, C7 | 35 |
| | ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> | [1..1] | ± | | 36 |
| | CancellationReason <CxlRsn> | [0..1] | CodeSet | | 36 |
| | Issuer <Issr> | [0..1] | ± | | 37 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C8 | 37 |

4.3 Constraints

C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

C3 DescriptionPresenceRule

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

C4 DescriptionUsageRule

Description must be used alone as the last resort.

C5 ISINGuideline

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C6 ISINPresenceRule

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

C7 OtherIdentificationPresenceRule

If OtherIdentification is not present then either ISIN or Description must be present.

C8 SupplementaryDataRule

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

4.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

4.4.1 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

Presence: [1..1]

Definition: Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

IssuerDisclosureRequestReference <IssrDsclsrReqRef> contains the following **DisclosureRequestIdentification1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|--------------------|------|
| | IssuerDisclosureRequestIdentification <IssrDsclsrReqId> | [1..1] | Text | | 35 |
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | C3, C4, C5, C6, C7 | 35 |
| | ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> | [1..1] | ± | | 36 |

4.4.1.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

Presence: [1..1]

Definition: Official and unique reference assigned to a shareholders identification disclosure request process by the issuer or third party nominated by him.

Datatype: "Max35Text" on page 177

4.4.1.2 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

Impacted by: C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C7 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 101 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------------|--------|---------------|-------------|------|
| | ISIN <ISIN> | [0..1] | IdentifierSet | | 102 |
| | OtherIdentification <OthrId> | [0..*] | | | 102 |
| | Identification <Id> | [1..1] | Text | | 103 |
| | Suffix <Sfx> | [0..1] | Text | | 103 |
| | Type <Tp> | [1..1] | ± | | 103 |
| | Description <Desc> | [0..1] | Text | | 103 |

Constraints

- **DescriptionPresenceRule**

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

On Condition

/Description is absent

Following Must be True

/ISIN Must be present

Or /OtherIdentification[*] Must be present

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or
  /Description Must be present
```

- **OtherIdentificationPresenceRule**

If OtherIdentification is not present then either ISIN or Description must be present.

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or
  /Description Must be present
```

4.4.1.3 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

Presence: [1..1]

Definition: Date set by the issuer on which shareholders identity is determined based on the settled positions struck in the books of the Issuer CSD or any other first intermediary at the close of business day.

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see ["DateFormat46Choice"](#) on page 91 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | ± | | 91 |
| Or} | DateCode <DtCd> | [1..1] | | | 91 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 91 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 92 |

4.4.2 CancellationReason <CxlRsn>

Presence: [0..1]

Definition: Provides the reason for cancelling the request for shareholders identification disclosure.

Datatype: ["DisclosureRequestCancellationReason1Code"](#) on page 166

| CodeName | Name | Definition |
|----------|------------|--|
| PROC | Processing | The cancellation of the disclosure request is due to a processing error. |

| CodeName | Name | Definition |
|----------|------------|---|
| WITH | Withdrawal | The cancellation of the disclosure request is due to the withdrawal of the request by the issuer. |

4.4.3 Issuer <Issr>

Presence: [0..1]

Definition: Issuer of the financial instrument.

Issuer <Issr> contains one of the following elements (see "[PartyIdentification129Choice](#)" on page 149 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 149 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 150 |
| Or | NameAndAddress <NmAndAdr> | [1..1] | ± | | 150 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 150 |

4.4.4 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that can not be captured in the structured fields and/or any other specific block.

Impacted by: [C8 "SupplementaryDataRule"](#)

SupplementaryData <SplmtryData> contains the following elements (see "[SupplementaryData1](#)" on page 105 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
| | PlaceAndName <PlcAndNm> | [0..1] | Text | | 105 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 106 |

Constraints

- SupplementaryDataRule**

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

5 **seev.047.001.02**

ShareholdersIdentificationDisclosureResponseV02

5.1 **MessageDefinition Functionality**

The ShareholdersIdentificationDisclosureResponse message is sent in response to a shareholder identification disclosure request message by any intermediaries to the recipient designated by the issuer (such as an issuer's agent) in the disclosure request message in order to provide the requested information on the identity of the shareholders and their accounts holdings serviced by the intermediary for the requested financial instrument.

Outline

The ShareholdersIdentificationDisclosureResponseV02 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. Pagination

Page number of the message and continuation indicator to indicate that the identification disclosure response, when split in several parts (messages), is to continue or that the message is the last page of the multi-part identification disclosure response.

B. IssuerDisclosureRequestReference

Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

C. DisclosureResponseIdentification

Unique identification of the disclosure response. The same disclosure response identification number is to be used when the response is split in multiple (paginated) messages.

D. RespondingIntermediary

Unique identification of the intermediary party responding to the shareholders identification disclosure request.

E. DisclosureInformation

Specifies detailed shareholding disclosure information or specifies that disclosure information is not provided.

F. SupplementaryData

Additional information that can not be captured in the structured fields and/or any other specific block.

5.2 Structure

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---|--------|---------|--------------------|------|
| | Message root <Document> <ShrhldrsIdDsclsrRspn> | [1..1] | | | |
| | | | | | |
| | Pagination <Pgntn> | [0..1] | ± | | 41 |
| | IssuerDisclosureRequestReference <IssrDsclsrReqRef> | [1..1] | | | 41 |
| | IssuerDisclosureRequestIdentification <IssrDsclsrReqId> | [1..1] | Text | | 41 |
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | C3, C4, C5, C6, C8 | 41 |
| | ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> | [1..1] | ± | | 42 |
| | DisclosureResponseIdentification <DsclsrRspnId> | [1..1] | Text | | 43 |
| | RespondingIntermediary <RspndgIntrmy> | [1..1] | ± | | 43 |
| | DisclosureInformation <DsclsrInf> | [1..1] | | | 44 |
| {Or | NoDisclosure <NoDsclsr> | [1..1] | CodeSet | | 45 |
| Or} | SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs> | [1..*] | | | 46 |
| | SafekeepingAccount <SfkpgAcct> | [1..1] | Text | | 47 |
| | AccountServicer <AcctSvcr> | [1..1] | ± | | 48 |
| | ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct> | [1..1] | ± | | 48 |
| | ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct> | [1..1] | ± | | 48 |
| | TotalShareholdingBalance <TtlShrhldgBal> | [1..1] | ± | | 48 |
| | AccountSubLevel <AcctSubLvl> | [0..1] | | | 49 |
| | NonDisclosedShareholdingQuantity <NonDsclsdShrhldgQty> | [0..1] | ± | | 49 |
| | BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty> | [0..1] | ± | | 50 |
| | Disclosure <Dsclsr> | [0..*] | | | 50 |
| | SafekeepingAccount <SfkpgAcct> | [0..1] | Text | | 51 |
| | AccountHolder <AcctHldr> | [1..1] | | C7 | 51 |
| | LegalPerson <LglPrsn> | [0..*] | ± | | 51 |
| | NaturalPerson <NtrlPrsn> | [0..*] | ± | | 52 |
| | ShareholdingBalance <ShrhldgBal> | [1..*] | | | 53 |
| | ShareholdingType <ShrhldgTp> | [1..1] | CodeSet | | 54 |
| | Quantity <Qty> | [1..1] | ± | | 54 |

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---|--------|------|-------------|------|
| | InitialDateOfShareholding <InitlDtOfShrhldg> | [0..1] | ± | | 55 |
| | ThirdParty <ThrdPty> | [0..*] | | | 55 |
| | Role <Role> | [1..1] | ± | | 55 |
| | Identification <Id> | [1..1] | | | 56 |
| {Or | LegalPerson <LglPrsn> | [1..1] | ± | | 56 |
| Or} | NaturalPerson <NtrlPrsn> | [1..1] | ± | | 56 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C9 | 57 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C9 | 58 |

5.3 Constraints

C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

C3 DescriptionPresenceRule

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

C4 DescriptionUsageRule

Description must be used alone as the last resort.

C5 ISINGuideline

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C6 ISINPresenceRule

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

C7 LegalPersonOrNaturalPersonRule

At least one occurrence of either NaturalPerson or LegalPerson must be present.

C8 OtherIdentificationPresenceRule

If OtherIdentification is not present then either ISIN or Description must be present.

C9 SupplementaryDataRule

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

5.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

5.4.1 Pagination <Pgntn>

Presence: [0..1]

Definition: Page number of the message and continuation indicator to indicate that the identification disclosure response, when split in several parts (messages), is to continue or that the message is the last page of the multi-part identification disclosure response.

Pagination <Pgntn> contains the following elements (see "Pagination1" on page 110 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------------|--------|-----------|-------------|------|
| | PageNumber <PgNb> | [1..1] | Text | | 111 |
| | LastPageIndicator <LastPgInd> | [1..1] | Indicator | | 111 |

5.4.2 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

Presence: [1..1]

Definition: Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

IssuerDisclosureRequestReference <IssrDsclsrReqRef> contains the following **DisclosureRequestIdentification1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|--------------------------|------|
| | IssuerDisclosureRequestIdentification <IssrDsclsrReqId> | [1..1] | Text | | 41 |
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | C3, C4, C5, C6, C8 | 41 |
| | ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> | [1..1] | ± | | 42 |

5.4.2.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

Presence: [1..1]

Definition: Official and unique reference assigned to a shareholders identification disclosure request process by the issuer or third party nominated by him.

Datatype: "Max35Text" on page 177

5.4.2.2 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

Impacted by: C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C8 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 101 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------------|--------|---------------|-------------|------|
| | ISIN <ISIN> | [0..1] | IdentifierSet | | 102 |
| | OtherIdentification <OthrId> | [0..*] | | | 102 |
| | Identification <Id> | [1..1] | Text | | 103 |
| | Suffix <Sfx> | [0..1] | Text | | 103 |
| | Type <Tp> | [1..1] | ± | | 103 |
| | Description <Desc> | [0..1] | Text | | 103 |

Constraints

- **DescriptionPresenceRule**

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or
  /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or
  /Description Must be present
```

- **OtherIdentificationPresenceRule**

If OtherIdentification is not present then either ISIN or Description must be present.

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or
  /Description Must be present
```

5.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

Presence: [1..1]

Definition: Date set by the issuer on which shareholders identity is determined based on the settled positions struck in the books of the Issuer CSD or any other first intermediary at the close of business day.

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see "DateFormat46Choice" on page 91 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | ± | | 91 |
| Or} | DateCode <DtCd> | [1..1] | | | 91 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 91 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 92 |

5.4.3 DisclosureResponseIdentification <DsclsrRspnId>

Presence: [1..1]

Definition: Unique identification of the disclosure response. The same disclosure response identification number is to be used when the response is split in multiple (paginated) messages.

Datatype: "Max35Text" on page 177

5.4.4 RespondingIntermediary <RspndgIntrmy>

Presence: [1..1]

Definition: Unique identification of the intermediary party responding to the shareholders identification disclosure request.

RespondingIntermediary <RspndgIntrmy> contains the following elements (see "PartyIdentification219" on page 139 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | NameAndAddress <NmAndAdr> | [1..1] | | | 139 |
| | Name <Nm> | [1..1] | Text | | 140 |
| | Address <Adr> | [0..1] | | | 140 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 141 |
| | AddressLine <AdrLine> | [0..5] | Text | | 141 |
| | StreetName <StrtNm> | [0..1] | Text | | 141 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 141 |
| | PostBox <PstBx> | [0..1] | Text | | 141 |
| | PostCode <PstCd> | [0..1] | Text | | 141 |
| | TownName <TwnNm> | [0..1] | Text | | 142 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 142 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 142 |
| | Identification <Id> | [1..1] | ± | | 142 |
| | ContactPerson <CtctPrsn> | [0..1] | ± | | 142 |

5.4.5 DisclosureInformation <DsclsrInf>

Presence: [1..1]

Definition: Specifies detailed shareholding disclosure information or specifies that disclosure information is not provided.

DisclosureInformation <DsclsrInf> contains one of the following **Disclosure2Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| {Or | NoDisclosure <NoDsclsr> | [1..1] | CodeSet | | 45 |
| Or} | SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs> | [1..*] | | | 46 |
| | SafekeepingAccount <SfkpgAcct> | [1..1] | Text | | 47 |
| | AccountServicer <AcctSvcr> | [1..1] | ± | | 48 |
| | ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct> | [1..1] | ± | | 48 |
| | ShareholdingBalanceOnClientAccount <ShrhldgBalOnCIntAcct> | [1..1] | ± | | 48 |
| | TotalShareholdingBalance <TtlShrhldgBal> | [1..1] | ± | | 48 |
| | AccountSubLevel <AcctSubLvl> | [0..1] | | | 49 |
| | NonDisclosedShareholdingQuantity <NonDsclsdShrhldgQty> | [0..1] | ± | | 49 |
| | BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty> | [0..1] | ± | | 50 |
| | Disclosure <Dsclsr> | [0..*] | | | 50 |
| | SafekeepingAccount <SfkpgAcct> | [0..1] | Text | | 51 |
| | AccountHolder <AcctHldr> | [1..1] | | C7 | 51 |
| | LegalPerson <LglPrsn> | [0..*] | ± | | 51 |
| | NaturalPerson <NtrlPrsn> | [0..*] | ± | | 52 |
| | ShareholdingBalance <ShrhldgBal> | [1..*] | | | 53 |
| | ShareholdingType <ShrhldgTp> | [1..1] | CodeSet | | 54 |
| | Quantity <Qty> | [1..1] | ± | | 54 |
| | InitialDateOfShareholding <InitlDtOfShrhldg> | [0..1] | ± | | 55 |
| | ThirdParty <ThrdPty> | [0..*] | | | 55 |
| | Role <Role> | [1..1] | ± | | 55 |
| | Identification <Id> | [1..1] | | | 56 |
| {Or | LegalPerson <LglPrsn> | [1..1] | ± | | 56 |
| Or} | NaturalPerson <NtrlPrsn> | [1..1] | ± | | 56 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C9 | 57 |

5.4.5.1 NoDisclosure <NoDsclsr>

Presence: [1..1]

Definition: Shareholding information is not disclosed.

Datatype: "NoReasonCode" on page 169

| CodeName | Name | Definition |
|----------|----------|---|
| NORE | NoReason | No reason to report or no reason available to report. |

5.4.5.2 SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs>

Presence: [1..*]

Definition: Details of the account, account sub-levels and holdings.

SafekeepingAccountAndHoldings <SfkpgAcctAndHldgs> contains the following
SafekeepingAccount11 elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| | SafekeepingAccount <SfkpgAcct> | [1..1] | Text | | 47 |
| | AccountServicer <AcctSvcr> | [1..1] | ± | | 48 |
| | ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct> | [1..1] | ± | | 48 |
| | ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct> | [1..1] | ± | | 48 |
| | TotalShareholdingBalance <TtlShrhldgBal> | [1..1] | ± | | 48 |
| | AccountSubLevel <AcctSubLvl> | [0..1] | | | 49 |
| | NonDisclosedShareholdingQuantity <NonDscldShrhldgQty> | [0..1] | ± | | 49 |
| | BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty> | [0..1] | ± | | 50 |
| | Disclosure <Dsclsr> | [0..*] | | | 50 |
| | SafekeepingAccount <SfkpgAcct> | [0..1] | Text | | 51 |
| | AccountHolder <AcctHldr> | [1..1] | | C7 | 51 |
| | LegalPerson <LglPrsn> | [0..*] | ± | | 51 |
| | NaturalPerson <NtrlPrsn> | [0..*] | ± | | 52 |
| | ShareholdingBalance <ShrhldgBal> | [1..*] | | | 53 |
| | ShareholdingType <ShrhldgTp> | [1..1] | CodeSet | | 54 |
| | Quantity <Qty> | [1..1] | ± | | 54 |
| | InitialDateOfShareholding <InitlDtOfShrhldg> | [0..1] | ± | | 55 |
| | ThirdParty <ThrdPty> | [0..*] | | | 55 |
| | Role <Role> | [1..1] | ± | | 55 |
| | Identification <Id> | [1..1] | | | 56 |
| {Or | LegalPerson <LglPrsn> | [1..1] | ± | | 56 |
| Or} | NaturalPerson <NtrlPrsn> | [1..1] | ± | | 56 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C9 | 57 |

5.4.5.2.1 SafekeepingAccount <SfkpgAcct>

Presence: [1..1]

Definition: Account where financial instruments are maintained. Account held by the responding intermediary with its account servicer.

Datatype: "Max35Text" on page 177

5.4.5.2.2 AccountServicer <AcctSvcr>*Presence:* [1..1]*Definition:* Party that manages the account on behalf of the account owner, that is, manages the registration and booking of entries on the account, calculates balances on the account and provides information about the account.**AccountServicer <AcctSvcr>** contains one of the following elements (see "PartyIdentification195Choice" on page 109 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 109 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 109 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 110 |

5.4.5.2.3 ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>*Presence:* [1..1]*Definition:* Number of shares held by the responding intermediary on its own account.**ShareholdingBalanceOnOwnAccount <ShrhldgBalOnOwnAcct>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 163 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit> | [1..1] | Quantity | | 163 |
| Or} | FaceAmount <FaceAmt> | [1..1] | Amount | | 164 |

5.4.5.2.4 ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>*Presence:* [1..1]*Definition:* Number of shares held by the responding intermediary on account of someone else.**ShareholdingBalanceOnClientAccount <ShrhldgBalOnClntAcct>** contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 163 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit> | [1..1] | Quantity | | 163 |
| Or} | FaceAmount <FaceAmt> | [1..1] | Amount | | 164 |

5.4.5.2.5 TotalShareholdingBalance <TtlShrhldgBal>*Presence:* [1..1]*Definition:* Total number of shares held by the responding intermediary.

TotalShareholdingBalance <TtIShrhldgBal> contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 163 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit> | [1..1] | Quantity | | 163 |
| Or} | FaceAmount <FaceAmt> | [1..1] | Amount | | 164 |

5.4.5.2.6 AccountSubLevel <AcctSubLvl>

Presence: [0..1]

Definition: Shareholdings information at account sub level.

AccountSubLevel <AcctSubLvl> contains the following **AccountSubLevel22** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| | NonDisclosedShareholdingQuantity <NonDscldShrhldgQty> | [0..1] | ± | | 49 |
| | BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty> | [0..1] | ± | | 50 |
| | Disclosure <Dscls> | [0..*] | | | 50 |
| | SafekeepingAccount <SfkpgAcct> | [0..1] | Text | | 51 |
| | AccountHolder <AcctHldr> | [1..1] | | C7 | 51 |
| | LegalPerson <LglPrsn> | [0..*] | ± | | 51 |
| | NaturalPerson <NtrlPrsn> | [0..*] | ± | | 52 |
| | ShareholdingBalance <ShrhldgBal> | [1..*] | | | 53 |
| | ShareholdingType <ShrhldgTp> | [1..1] | CodeSet | | 54 |
| | Quantity <Qty> | [1..1] | ± | | 54 |
| | InitialDateOfShareholding <InitlDtOfShrhldg> | [0..1] | ± | | 55 |
| | ThirdParty <ThrdPty> | [0..*] | | | 55 |
| | Role <Role> | [1..1] | ± | | 55 |
| | Identification <Id> | [1..1] | | | 56 |
| {Or | LegalPerson <LglPrsn> | [1..1] | ± | | 56 |
| Or} | NaturalPerson <NtrlPrsn> | [1..1] | ± | | 56 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C9 | 57 |

5.4.5.2.6.1 NonDisclosedShareholdingQuantity <NonDscldShrhldgQty>

Presence: [0..1]

Definition: Quantity of shares for which shareholding details are not disclosed.

NonDisclosedShareholdingQuantity <NonDsclDShrhldgQty> contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 163 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit> | [1..1] | Quantity | | 163 |
| Or} | FaceAmount <FaceAmt> | [1..1] | Amount | | 164 |

5.4.5.2.6.2 BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty>

Presence: [0..1]

Definition: Quantity of shares for which shareholding details are not reported as the quantity of shares owned by the shareholder is under the threshold limit.

BelowThresholdShareholdingQuantity <BlwThrshldShrhldgQty> contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 163 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit> | [1..1] | Quantity | | 163 |
| Or} | FaceAmount <FaceAmt> | [1..1] | Amount | | 164 |

5.4.5.2.6.3 Disclosure <Dsclsr>

Presence: [0..*]

Definition: Details of the account sub-levels and holdings.

Disclosure <Dsclsr> contains the following **AccountSubLevel23** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| | SafekeepingAccount <SfkpgAcct> | [0..1] | Text | | 51 |
| | AccountHolder <AcctHldr> | [1..1] | | C7 | 51 |
| | LegalPerson <LglPrsn> | [0..*] | ± | | 51 |
| | NaturalPerson <NtrlPrsn> | [0..*] | ± | | 52 |
| | ShareholdingBalance <ShrhldgBal> | [1..*] | | | 53 |
| | ShareholdingType <ShrhldgTp> | [1..1] | CodeSet | | 54 |
| | Quantity <Qty> | [1..1] | ± | | 54 |
| | InitialDateOfShareholding <InitlDtOfShrhldg> | [0..1] | ± | | 55 |
| | ThirdParty <ThrdPty> | [0..*] | | | 55 |
| | Role <Role> | [1..1] | ± | | 55 |
| | Identification <Id> | [1..1] | | | 56 |
| {Or | LegalPerson <LglPrsn> | [1..1] | ± | | 56 |
| Or} | NaturalPerson <NtrlPrsn> | [1..1] | ± | | 56 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C9 | 57 |

5.4.5.2.6.3.1 SafekeepingAccount <SfkpgAcct>*Presence:* [0..1]*Definition:* Account where financial instruments are maintained. Account serviced by the responding intermediary for an account holder.*Datatype:* "Max35Text" on page 177**5.4.5.2.6.3.2 AccountHolder <AcctHldr>***Presence:* [1..1]*Definition:* Party that legally owns the account.*Impacted by:* C7 "LegalPersonOrNaturalPersonRule"**AccountHolder <AcctHldr>** contains the following **PartyIdentification243** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---------------------------------|--------|------|-------------|------|
| | LegalPerson <LglPrsn> | [0..*] | ± | | 51 |
| | NaturalPerson <NtrlPrsn> | [0..*] | ± | | 52 |

Constraints

- LegalPersonOrNaturalPersonRule**

At least one occurrence of either NaturalPerson or LegalPerson must be present.

Following Must be True

/LegalPerson[*] Must be present

Or /NaturalPerson[*] Must be present

5.4.5.2.6.3.2.1 LegalPerson <LglPrsn>*Presence:* [0..*]*Definition:* Legal entity.

LegalPerson <LglPrsn> contains the following elements (see "PartyIdentification237" on page 117 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | NameAndAddress <NmAndAdr> | [1..1] | | | 118 |
| | Name <Nm> | [1..1] | Text | | 119 |
| | Address <Adr> | [0..1] | | | 119 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 120 |
| | AddressLine <AdrLine> | [0..5] | Text | | 120 |
| | StreetName <StrtNm> | [0..1] | Text | | 120 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 120 |
| | PostBox <PstBx> | [0..1] | Text | | 120 |
| | PostCode <PstCd> | [0..1] | Text | | 120 |
| | TownName <TwnNm> | [0..1] | Text | | 121 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 121 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 121 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 121 |
| | Identification <Id> | [1..1] | ± | | 121 |
| | CountryOfIncorporation <CtryOfIncorprtn> | [0..1] | CodeSet | C2 | 121 |
| | YearOfIncorporation <YrOfIncorprtn> | [0..1] | Year | | 122 |
| | ActivityIndicator <ActvtyInd> | [0..1] | IdentifierSet | | 122 |
| | InvestorType <InvstrTp> | [0..1] | | | 122 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 122 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 123 |
| | Ownership <Ownrsh> | [0..1] | | | 123 |
| | OwnershipType <OwnrshTp> | [0..1] | | | 123 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 123 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 124 |
| | OwnershipPercentage <OwnrshPctg> | [0..1] | Rate | | 124 |
| | UsufructPercentage <UsfrctPctg> | [0..1] | Rate | | 124 |

5.4.5.2.6.3.2.2 NaturalPerson <NtrlPrsn>

Presence: [0..*]

Definition: Private person.

NaturalPerson <NtrlPrsn> contains the following elements (see "PartyIdentification217" on page 131 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|---------|-------------|------|
| | NameAndAddress <NmAndAdr> | [1..1] | | | 132 |
| | NamePrefix <NmPrfx> | [0..1] | CodeSet | | 133 |
| | FirstName <FrstNm> | [1..1] | Text | | 133 |
| | Surname <SrnM> | [1..1] | Text | | 133 |
| | Address <Adr> | [0..1] | | | 134 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 134 |
| | AddressLine <AdrLine> | [0..5] | Text | | 134 |
| | StreetName <StrtNm> | [0..1] | Text | | 134 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 135 |
| | PostBox <PstBx> | [0..1] | Text | | 135 |
| | PostCode <PstCd> | [0..1] | Text | | 135 |
| | TownName <TwnNm> | [0..1] | Text | | 135 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 135 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 135 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 135 |
| | Identification <Id> | [1..1] | ± | | 136 |
| | Nationality <Ntlty> | [0..1] | CodeSet | C2 | 136 |
| | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ± | | 136 |
| | InvestorType <InvstrTp> | [0..1] | | | 136 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 137 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 137 |
| | Ownership <Ownrsh> | [0..1] | | | 137 |
| | OwnershipType <OwnrshTp> | [0..1] | | | 138 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 138 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 138 |
| | OwnershipPercentage <OwnrshPctg> | [0..1] | Rate | | 139 |
| | UsufructPercentage <UsfrctPctg> | [0..1] | Rate | | 139 |

5.4.5.2.6.3.3 ShareholdingBalance <ShrhldgBal>

Presence: [1..*]

Definition: Detailed shareholding balance information for an account.

ShareholdingBalance <ShrhldgBal> contains the following **ShareholdingBalance1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---|--------|---------|-------------|------|
| | ShareholdingType <ShrhldgTp> | [1..1] | CodeSet | | 54 |
| | Quantity <Qty> | [1..1] | ± | | 54 |
| | InitialDateOfShareholding <InitlDtOfShrhldg> | [0..1] | ± | | 55 |
| | ThirdParty <ThrdPty> | [0..*] | | | 55 |
| | Role <Role> | [1..1] | ± | | 55 |
| | Identification <Id> | [1..1] | | | 56 |
| {Or | LegalPerson <LglPrsn> | [1..1] | ± | | 56 |
| Or} | NaturalPerson <NtrlPrsn> | [1..1] | ± | | 56 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C9 | 57 |

5.4.5.2.6.3.3.1 ShareholdingType <ShrhldgTp>

Presence: [1..1]

Definition: Identifies the category of shareholding.

Datatype: "ShareholdingType1Code" on page 170

| CodeName | Name | Definition |
|----------|------------------------|--|
| BENE | BeneficialShareholding | Shares are held on behalf of the beneficial owner. Usage: this type should be used to report assets the intermediary holds on behalf of a final beneficial owner. |
| NOMI | NomineeShareholding | Shares are held on behalf of an intermediary. Usage: this type should be used to report assets the intermediary holds on behalf of another intermediary. |
| OOAC | OnOwnAccount | Shares are held by the responding intermediary for its own account. Usage: this type should only be used to report the intermediary's own assets if and when the intermediary commingles them with the one of their clients. Within jurisdictions where commingling is not allowed, this type should not be used. |
| UKWN | Unknown | Shareholding type is unknown. Usage: this type should be used when the intermediary's client hasn't been classified. |

5.4.5.2.6.3.3.2 Quantity <Qty>

Presence: [1..1]

Definition: Number of shares of this type of shareholding or with this date of shareholding held by the account owner.

Quantity <Qty> contains one of the following elements (see "FinancialInstrumentQuantity18Choice" on page 163 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit> | [1..1] | Quantity | | 163 |
| Or} | FaceAmount <FaceAmt> | [1..1] | Amount | | 164 |

5.4.5.2.6.3.3.3 InitialDateOfShareholding <InitIDtOfShrhldg>

Presence: [0..1]

Definition: Date as from when the shares have been held by the shareholder on its account.

InitialDateOfShareholding <InitIDtOfShrhldg> contains one of the following elements (see "DateFormat57Choice" on page 92 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | Date | | 92 |
| Or} | DateCode <DtCd> | [1..1] | | | 92 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 92 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 93 |

5.4.5.2.6.3.3.4 ThirdParty <ThrdPty>

Presence: [0..*]

Definition: Third party who is authorised to take specific actions on behalf of the shareholder.

ThirdParty <ThrdPty> contains the following **PartyIdentification218** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| | Role <Role> | [1..1] | ± | | 55 |
| | Identification <Id> | [1..1] | | | 56 |
| {Or | LegalPerson <LglPrsn> | [1..1] | ± | | 56 |
| Or} | NaturalPerson <NtrlPrsn> | [1..1] | ± | | 56 |

5.4.5.2.6.3.3.4.1 Role <Role>

Presence: [1..1]

Definition: Role played by the third party.

Role <Role> contains one of the following elements (see "PartyRole6Choice" on page 108 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 108 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 109 |

5.4.5.2.6.3.3.4.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the third party.

Identification <Id> contains one of the following **PartyIdentification205Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---------------------------------|--------|------|-------------|------|
| {Or | LegalPerson <LglPrsn> | [1..1] | ± | | 56 |
| Or} | NaturalPerson <NtrlPrsn> | [1..1] | ± | | 56 |

5.4.5.2.6.3.3.4.2.1 LegalPerson <LglPrsn>

Presence: [1..1]

Definition: Legal entity.

LegalPerson <LglPrsn> contains the following elements (see "PartyIdentification201" on page 128 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | NameAndAddress <NmAndAdr> | [0..1] | | | 128 |
| | Name <Nm> | [1..1] | Text | | 129 |
| | Address <Adr> | [0..1] | | | 129 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 130 |
| | AddressLine <AdrLine> | [0..5] | Text | | 130 |
| | StreetName <StrtNm> | [0..1] | Text | | 130 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 130 |
| | PostBox <PstBx> | [0..1] | Text | | 130 |
| | PostCode <PstCd> | [0..1] | Text | | 130 |
| | TownName <TwnNm> | [0..1] | Text | | 131 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 131 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 131 |
| | Identification <Id> | [1..1] | ± | | 131 |

5.4.5.2.6.3.3.4.2.2 NaturalPerson <NtrlPrsn>

Presence: [1..1]

Definition: Private person.

NaturalPerson <NtrlPrsn> contains the following elements (see "PartyIdentification202" on page 124 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | NameAndAddress <NmAndAdr> | [1..1] | | | 125 |
| | FirstName <FrstNm> | [1..1] | Text | | 126 |
| | Surname <SrnM> | [1..1] | Text | | 126 |
| | Address <Adr> | [0..1] | | | 126 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 126 |
| | AddressLine <AdrLine> | [0..5] | Text | | 127 |
| | StreetName <StrtNm> | [0..1] | Text | | 127 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 127 |
| | PostBox <PstBx> | [0..1] | Text | | 127 |
| | PostCode <PstCd> | [0..1] | Text | | 127 |
| | TownName <TwnNm> | [0..1] | Text | | 127 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 127 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 127 |
| | Identification <Id> | [1..1] | ± | | 128 |

5.4.5.2.6.3.3.5 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that can not be captured in the structured fields and/or any other specific block.

Impacted by: C9 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 105 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
| | PlaceAndName <PlcAndNm> | [0..1] | Text | | 105 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 106 |

Constraints

- **SupplementaryDataRule**

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

5.4.6 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that can not be captured in the structured fields and/or any other specific block.

Impacted by: C9 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "[SupplementaryData1](#)" on page 105 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
| | PlaceAndName <PlcAndNm> | [0..1] | Text | | 105 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 106 |

Constraints

- **SupplementaryDataRule**

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

6 **seev.048.001.01**

ShareholderIdentificationDisclosureResponseCancellationAdviceV01

6.1 **MessageDefinition Functionality**

The ShareholdersIdentificationDisclosureResponseCancellationAdvice message is sent by any intermediaries to the recipient designated by the issuer (such as an issuer's agent) in the disclosure request message in order to cancel the shareholder identification disclosure response whether previously sent in a single message or in a set of multipart/paginated response messages.

Outline

The ShareholderIdentificationDisclosureResponseCancellationAdviceV01 MessageDefinition is composed of 4 MessageBuildingBlocks:

A. DisclosureResponseIdentification

Unique identification of the disclosure response for which a cancellation advice is sent.

The same disclosure response identification number is to be used when cancelling a response which is split in multiple messages.

B. IssuerDisclosureRequestReference

Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

C. RespondingIntermediary

Unique identification of the intermediary party responding to the shareholders identification disclosure request.

D. SupplementaryData

Additional information that can not be captured in the structured fields and/or any other specific block.

6.2 Structure

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|--|--------|------|--------------------|------|
| | Message root <Document> <ShrhldrldDsclsrRspnCxlAdv> | [1..1] | | | |
| | DisclosureResponseIdentification <DsclsrRspnId> | [1..1] | Text | | 61 |
| | IssuerDisclosureRequestReference <IssrDsclsrReqRef> | [1..1] | | | 61 |
| | IssuerDisclosureRequestIdentification <IssrDsclsrReqId> | [1..1] | Text | | 61 |
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | C2, C3, C4, C5, C6 | 61 |
| | ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> | [1..1] | ± | | 62 |
| | RespondingIntermediary <RspndgIntrmy> | [1..1] | | | 63 |
| | Name <Nm> | [1..1] | Text | | 63 |
| | Identification <Id> | [1..1] | ± | | 63 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C7 | 64 |

6.3 Constraints

C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

C2 DescriptionPresenceRule

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

C3 DescriptionUsageRule

Description must be used alone as the last resort.

C4 ISINGuideline

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C5 ISINPresenceRule

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

C6 OtherIdentificationPresenceRule

If OtherIdentification is not present then either ISIN or Description must be present.

C7 SupplementaryDataRule

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

6.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

6.4.1 DisclosureResponseIdentification <DsclsrRspnId>

Presence: [1..1]

Definition: Unique identification of the disclosure response for which a cancellation advice is sent.

The same disclosure response identification number is to be used when cancelling a response which is split in multiple messages.

Datatype: "Max35Text" on page 177

6.4.2 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

Presence: [1..1]

Definition: Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

IssuerDisclosureRequestReference <IssrDsclsrReqRef> contains the following **DisclosureRequestIdentification1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|--------------------|------|
| | IssuerDisclosureRequestIdentification <IssrDsclsrReqId> | [1..1] | Text | | 61 |
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | C2, C3, C4, C5, C6 | 61 |
| | ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> | [1..1] | ± | | 62 |

6.4.2.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>

Presence: [1..1]

Definition: Official and unique reference assigned to a shareholders identification disclosure request process by the issuer or third party nominated by him.

Datatype: "Max35Text" on page 177

6.4.2.2 FinancialInstrumentIdentification <FinInstrmId>

Presence: [1..1]

Definition: Identifies the financial instrument.

Impacted by: C2 "DescriptionPresenceRule", C3 "DescriptionUsageRule", C4 "ISINGuideline", C5 "ISINPresenceRule", C6 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 101 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------------|--------|---------------|-------------|------|
| | ISIN <ISIN> | [0..1] | IdentifierSet | | 102 |
| | OtherIdentification <OthrlId> | [0..*] | | | 102 |
| | Identification <Id> | [1..1] | Text | | 103 |
| | Suffix <Sfx> | [0..1] | Text | | 103 |
| | Type <Tp> | [1..1] | ± | | 103 |
| | Description <Desc> | [0..1] | Text | | 103 |

Constraints

- **DescriptionPresenceRule**

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

```
On Condition
  /Description is absent
Following Must be True
  /ISIN Must be present
Or    /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

```
On Condition
  /ISIN is absent
Following Must be True
  /OtherIdentification[*] Must be present
Or    /Description Must be present
```

- **OtherIdentificationPresenceRule**

If OtherIdentification is not present then either ISIN or Description must be present.

```
On Condition
  /OtherIdentification[*] is absent
Following Must be True
  /ISIN Must be present
Or    /Description Must be present
```

6.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

Presence: [1..1]

Definition: Date set by the issuer on which shareholders identity is determined based on the settled positions struck in the books of the Issuer CSD or any other first intermediary at the close of business day.

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see "DateFormat46Choice" on page 91 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | ± | | 91 |
| Or} | DateCode <DtCd> | [1..1] | | | 91 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 91 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 92 |

6.4.3 RespondingIntermediary <RspndgIntrmy>

Presence: [1..1]

Definition: Unique identification of the intermediary party responding to the shareholders identification disclosure request.

RespondingIntermediary <RspndgIntrmy> contains the following **PartyIdentification215** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------|--------|------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 63 |
| | Identification <Id> | [1..1] | ± | | 63 |

6.4.3.1 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "Max350Text" on page 176

6.4.3.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following elements (see "PartyIdentification195Choice" on page 109 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 109 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 109 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 110 |

6.4.4 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that can not be captured in the structured fields and/or any other specific block.

Impacted by: C7 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 105 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
| | PlaceAndName <PlcAndNm> | [0..1] | Text | | 105 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 106 |

Constraints

- **SupplementaryDataRule**

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

7 **seev.049.001.01**

ShareholderIdentificationDisclosureResponseStatusAdviceV01

7.1 **MessageDefinition Functionality**

The ShareholdersIdentificationDisclosureResponseStatusAdvice message is sent by an issuer or by a third party nominated by the issuer (such as an issuer's agent) to the intermediary in a custody chain in response to a ShareholderIdentificationDisclosureResponse message or in response to a multipart response report (sent with pagination in multiple messages) in order to report about the acceptance status of the received ShareholderIdentificationDisclosureResponse message/report.

Usage: when the shareholder identification disclosure response is sent in a multipart response report (with several messages), a single response status advice only may be sent for the acceptance status of the whole report.

Outline

The ShareholderIdentificationDisclosureResponseStatusAdviceV01 MessageDefinition is composed of 5 MessageBuildingBlocks:

- A. DisclosureResponseIdentification
Unique identification of the disclosure response for which the status advice is sent.
- B. IssuerDisclosureRequestReference
Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.
- C. RespondingIntermediary
Unique identification of the intermediary party responding to the shareholders identification disclosure request.
- D. ResponseReceptionStatus
Acceptance status of the shareholder disclosure Identification Response message/report.
- E. SupplementaryData
Additional information that can not be captured in the structured fields and/or any other specific block.

7.2 Structure

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------|--------------------|------|
| | Message root <Document> <ShrhldrldDsclsrRspnStsAdv> | [1..1] | | | |
| | DisclosureResponseIdentification <DsclsrRspnId> | [1..1] | Text | | 67 |
| | IssuerDisclosureRequestReference <IssrDsclsrReqRef> | [1..1] | | | 67 |
| | IssuerDisclosureRequestIdentification <IssrDsclsrReqId> | [1..1] | Text | | 68 |
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | C3, C4, C5, C6, C7 | 68 |
| | ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> | [1..1] | ± | | 69 |
| | RespondingIntermediary <RspndgIntrmy> | [1..1] | | | 69 |
| | Name <Nm> | [1..1] | Text | | 69 |
| | Identification <Id> | [1..1] | ± | | 69 |
| | ResponseReceptionStatus <RspnRcptnSts> | [1..1] | | | 70 |
| {Or | Accepted <Accptd> | [1..1] | | | 70 |
| | NoSpecifiedReason <NoSpctfdRsn> | [1..1] | CodeSet | | 70 |
| Or} | Rejected <Rjctd> | [1..1] | | | 71 |
| {Or | NoSpecifiedReason <NoSpctfdRsn> | [1..1] | CodeSet | | 71 |
| Or} | Reason <Rsn> | [1..*] | | C1 | 71 |
| | ReasonCode <RsnCd> | [1..1] | | | 72 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 72 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 72 |
| | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text | | 72 |
| | SupplementaryData <SplmtryData> | [0..*] | ± | C8 | 73 |

7.3 Constraints

C1 AdditionalReasonInformationRule

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

C2 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

C3 DescriptionPresenceRule

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

C4 DescriptionUsageRule

Description must be used alone as the last resort.

C5 ISINGuideline

When an ISIN code exists, it is strongly recommended that the ISIN be used.

C6 ISINPresenceRule

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

C7 OtherIdentificationPresenceRule

If OtherIdentification is not present then either ISIN or Description must be present.

C8 SupplementaryDataRule

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

7.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

7.4.1 DisclosureResponseIdentification <DsclsrRspnId>

Presence: [1..1]

Definition: Unique identification of the disclosure response for which the status advice is sent.

Datatype: "Max35Text" on page 177

7.4.2 IssuerDisclosureRequestReference <IssrDsclsrReqRef>

Presence: [1..1]

Definition: Official and unique identification assigned to a shareholders identification disclosure request process by the issuer or third party nominated by it and for which a response is sent.

IssuerDisclosureRequestReference <IssrDsclsrReqRef> contains the following **DisclosureRequestIdentification1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|--------------------------|------|
| | IssuerDisclosureRequestIdentification <IssrDsclsrReqId> | [1..1] | Text | | 68 |
| | FinancialInstrumentIdentification <FinInstrmId> | [1..1] | ± | C3, C4, C5, C6, C7 | 68 |
| | ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> | [1..1] | ± | | 69 |

7.4.2.1 IssuerDisclosureRequestIdentification <IssrDsclsrReqId>*Presence:* [1..1]*Definition:* Official and unique reference assigned to a shareholders identification disclosure request process by the issuer or third party nominated by him.*Datatype:* "Max35Text" on page 177**7.4.2.2 FinancialInstrumentIdentification <FinInstrmId>***Presence:* [1..1]*Definition:* Identifies the financial instrument.*Impacted by:* C3 "DescriptionPresenceRule", C4 "DescriptionUsageRule", C5 "ISINGuideline", C6 "ISINPresenceRule", C7 "OtherIdentificationPresenceRule"**FinancialInstrumentIdentification <FinInstrmId>** contains the following elements (see "SecurityIdentification19" on page 101 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------------|--------|---------------|-------------|------|
| | ISIN <ISIN> | [0..1] | IdentifierSet | | 102 |
| | OtherIdentification <OthrId> | [0..*] | | | 102 |
| | Identification <Id> | [1..1] | Text | | 103 |
| | Suffix <Sfx> | [0..1] | Text | | 103 |
| | Type <Tp> | [1..1] | ± | | 103 |
| | Description <Desc> | [0..1] | Text | | 103 |

Constraints• **DescriptionPresenceRule**

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

On Condition

/Description is absent

Following Must be True

/ISIN Must be present

Or /OtherIdentification[*] Must be present

• **DescriptionUsageRule**

Description must be used alone as the last resort.

• **ISINGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

• **ISINPresenceRule**

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

On Condition

/ISIN is absent

Following Must be True

/OtherIdentification[*] Must be present
Or /Description Must be present

- **OtherIdentificationPresenceRule**

If OtherIdentification is not present then either ISIN or Description must be present.

On Condition

/OtherIdentification[*] is absent

Following Must be True

/ISIN Must be present

Or /Description Must be present

7.4.2.3 ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt>

Presence: [1..1]

Definition: Date set by the issuer on which shareholders identity is determined based on the settled positions struck in the books of the Issuer CSD or any other first intermediary at the close of business day.

ShareholdersDisclosureRecordDate <ShrhldrsDsclsrRcrdDt> contains one of the following elements (see "[DateFormat46Choice](#)" on page 91 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | ± | | 91 |
| Or} | DateCode <DtCd> | [1..1] | | | 91 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 91 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 92 |

7.4.3 RespondingIntermediary <RspndgIntrmy>

Presence: [1..1]

Definition: Unique identification of the intermediary party responding to the shareholders identification disclosure request.

RespondingIntermediary <RspndgIntrmy> contains the following **PartyIdentification215** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------|--------|------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 69 |
| | Identification <Id> | [1..1] | ± | | 69 |

7.4.3.1 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "[Max350Text](#)" on page 176

7.4.3.2 Identification <Id>

Presence: [1..1]

Definition: Identification of the party.

Identification <Id> contains one of the following elements (see "PartyIdentification195Choice" on page 109 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 109 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 109 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 110 |

7.4.4 ResponseReceptionStatus <RspnRcptnSts>

Presence: [1..1]

Definition: Acceptance status of the shareholder disclosure Identification Response message/report.

ResponseReceptionStatus <RspnRcptnSts> contains one of the following **ResponseProcessingStatus1Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------|-------------|------|
| {Or | Accepted <Accptd> | [1..1] | | | 70 |
| | NoSpecifiedReason <NoSpcfdRsn> | [1..1] | CodeSet | | 70 |
| Or} | Rejected <Rjctd> | [1..1] | | | 71 |
| {Or | NoSpecifiedReason <NoSpcfdRsn> | [1..1] | CodeSet | | 71 |
| Or} | Reason <Rsn> | [1..*] | | C1 | 71 |
| | ReasonCode <RsnCd> | [1..1] | | | 72 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 72 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 72 |
| | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text | | 72 |

7.4.4.1 Accepted <Accptd>

Presence: [1..1]

Definition: The received message or the multipart received report (sent with pagination in multiple messages) is accepted.

Accepted <Accptd> contains the following **AcceptedStatus1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---------------------------------------|--------|---------|-------------|------|
| | NoSpecifiedReason <NoSpcfdRsn> | [1..1] | CodeSet | | 70 |

7.4.4.1.1 NoSpecifiedReason <NoSpcfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 169

| CodeName | Name | Definition |
|----------|----------|---|
| NORE | NoReason | No reason to report or no reason available to report. |

7.4.4.2 Rejected <Rjctd>

Presence: [1..1]

Definition: The received message or the multipart received report (sent with pagination in multiple messages) is rejected.

Rejected <Rjctd> contains one of the following **RejectedStatus29Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------|-------------|------|
| {Or | NoSpecifiedReason <NoSpdfdRsn> | [1..1] | CodeSet | | 71 |
| Or} | Reason <Rsn> | [1..*] | | C1 | 71 |
| | ReasonCode <RsnCd> | [1..1] | | | 72 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 72 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 72 |
| | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text | | 72 |

7.4.4.2.1 NoSpecifiedReason <NoSpdfdRsn>

Presence: [1..1]

Definition: Reason not specified.

Datatype: "NoReasonCode" on page 169

| CodeName | Name | Definition |
|----------|----------|---|
| NORE | NoReason | No reason to report or no reason available to report. |

7.4.4.2.2 Reason <Rsn>

Presence: [1..*]

Definition: Reason for the rejected status.

Impacted by: C1 "AdditionalReasonInformationRule"

Reason <Rsn> contains the following **RejectedStatusReason29** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------|-------------|------|
| | ReasonCode <RsnCd> | [1..1] | | | 72 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 72 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 72 |
| | AdditionalReasonInformation <AddtlRsnInf> | [0..1] | Text | | 72 |

Constraints

- **AdditionalReasonInformationRule**

The AdditionalReasonInformation element must not contain information that can be provided in a structured field unless bilaterally agreed.

7.4.4.2.2.1 ReasonCode <RsnCd>

Presence: [1..1]

Definition: Specifies the reason why the instruction or instruction cancellation has been rejected.

ReasonCode <RsnCd> contains one of the following **RejectedReason30Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 72 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 72 |

7.4.4.2.2.1.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to specify the reason why the instruction/cancellation request has a rejected status.

Datatype: "RejectionReason52Code" on page 170

| CodeName | Name | Definition |
|----------|---|--|
| IDRI | InvalidDisclosureRequestIdentification | Disclosure request identification is invalid or unknown. |
| IDRJ | InvalidDisclosureResponseIdentification | Disclosure response identification is invalid or unknown. |
| SVNO | ServiceNotOffered | Service for which the information was sent is not offered. |

7.4.4.2.2.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the reason why the instruction/cancellation request has a rejected status.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

7.4.4.2.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional information about the processed instruction.

Datatype: "Max350Text" on page 176

7.4.5 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that can not be captured in the structured fields and/or any other specific block.

Impacted by: C8 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "SupplementaryData1" on page 105 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
| | PlaceAndName <PlcAndNm> | [0..1] | Text | | 105 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 106 |

Constraints

- **SupplementaryDataRule**

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

8 **semt.001.001.04 SecuritiesMessageRejectionV04**

8.1 **MessageDefinition Functionality**

Scope

An account servicer, for example, a registrar, transfer agent, first intermediary or custodian bank, sends the SecuritiesMessageRejection message to the sender (for example account owner, an investor, an issuer or its authorised agent), to reject a previously received message on which action cannot be taken.

The message may also be sent by an executing party, for example, transfer agent to the instructing party, for example, investment manager or its authorised representative to reject a previously received message on which action cannot be taken.

Usage

The SecuritiesMessageRejection message is used for the following reasons:

- the executing party does not recognise the linked reference, so the executing party cannot process the message
- the instructing party should not have sent the message.

Reasons that a receiver does not expect a message include no SLA in place between the Sender and the Receiver.

The sender doesn't comply with minimum requirements to allow processing at first intermediary level (for example for seev.045, seev.001, seev.031).

The SecuritiesMessageRejection message must not be used to reject an instruction message (for example sese.023, seev.004, seev.047, seev.033) that cannot be processed for business reasons, for example, if information is missing in an instruction message or because securities are not available for settlement.

The message should be used with the business Application Header.

Outline

The SecuritiesMessageRejectionV04 MessageDefinition is composed of 2 MessageBuildingBlocks:

A. RelatedReference

Reference to a linked message that was previously received.

B. Reason

Reason to reject the message.

8.2 Structure

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | Message root <Document> <SctiesMsgRjctn> | [1..1] | | | |
| | | | | | |
| | RelatedReference <RltdRef> | [1..1] | | | 76 |
| | Reference <Ref> | [1..1] | Text | | 77 |
| | Referencelssuer <RefIssr> | [0..1] | | | 77 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 77 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 78 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 78 |
| | MessageName <MsgNm> | [0..1] | Text | | 78 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 78 |
| | Reason <Rsn> | [1..1] | | | 79 |
| | Reason <Rsn> | [1..1] | CodeSet | | 80 |
| | AdditionalInformation <AddtlInf> | [0..1] | Text | | 81 |
| | LinkedMessage <LkdMsg> | [0..1] | | | 81 |
| {Or | PreviousReference <PrvsRef> | [1..1] | | | 82 |
| | Reference <Ref> | [1..1] | Text | | 83 |
| | Referencelssuer <RefIssr> | [0..1] | | | 83 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 83 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 84 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 84 |
| | MessageName <MsgNm> | [0..1] | Text | | 84 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 84 |
| Or | OtherReference <OthrRef> | [1..1] | | | 85 |
| | Reference <Ref> | [1..1] | Text | | 85 |
| | Referencelssuer <RefIssr> | [0..1] | | | 85 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 86 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 86 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 86 |
| | MessageName <MsgNm> | [0..1] | Text | | 87 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 87 |
| Or} | RelatedReference <RltdRef> | [1..1] | | | 87 |

| Or | MessageElement/BuildingBlock<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | Reference <Ref> | [1..1] | Text | | 88 |
| | ReferenceIssuer <RefIssr> | [0..1] | | | 88 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 88 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 89 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 89 |
| | MessageName <MsgNm> | [0..1] | Text | | 89 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 89 |

8.3 Constraints

C1 AnyBIC

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

C2 Country

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

C3 ShortLongNumberRule

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

8.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

8.4.1 RelatedReference <RltdRef>

Presence: [1..1]

Definition: Reference to a linked message that was previously received.

RelatedReference <RltdRef> contains the following **AdditionalReference14** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | Reference <Ref> | [1..1] | Text | | 77 |
| | ReferenceIssuer <RefIssr> | [0..1] | | | 77 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 77 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 78 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 78 |
| | MessageName <MsgNm> | [0..1] | Text | | 78 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 78 |

8.4.1.1 Reference <Ref>

Presence: [1..1]

Definition: Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

Datatype: "Max35Text" on page 177

8.4.1.2 ReferenceIssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

ReferenceIssuer <RefIssr> contains one of the following **PartyIdentification247Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 77 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 78 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 78 |

8.4.1.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 173

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

8.4.1.2.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

8.4.1.2.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see "[NameAndAddress5](#)" on page 157 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 157 |
| | Address <Adr> | [0..1] | ± | | 157 |

8.4.1.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: "[Max35Text](#)" on page 177

8.4.1.4 MessageNumber <MsgNb>

Presence: [1..1]

Definition: Identification of the type of message.

Impacted by: [C3 "ShortLongNumberRule"](#)

MessageNumber <MsgNb> contains one of the following elements (see "[DocumentNumber5Choice](#)" on page 93 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-----------------------------|--------|------|-------------|------|
| {Or | ShortNumber <ShrtNb> | [1..1] | Text | | 94 |
| Or | LongNumber <LngNb> | [1..1] | Text | | 94 |
| Or} | ProprietaryNumber <PrtryNb> | [1..1] | ± | | 94 |

Constraints

- **ShortLongNumberRule**

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

8.4.2 Reason <Rsn>

Presence: [1..1]

Definition: Reason to reject the message.

Reason <Rsn> contains the following **RejectionReason69** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | Reason <Rsn> | [1..1] | CodeSet | | 80 |
| | AdditionalInformation <AddtlInf> | [0..1] | Text | | 81 |
| | LinkedMessage <LkdMsg> | [0..1] | | | 81 |
| {Or | PreviousReference <PrvsRef> | [1..1] | | | 82 |
| | Reference <Ref> | [1..1] | Text | | 83 |
| | Referencelssuer <RefIssr> | [0..1] | | | 83 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 83 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 84 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 84 |
| | MessageName <MsgNm> | [0..1] | Text | | 84 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 84 |
| Or | OtherReference <OthrRef> | [1..1] | | | 85 |
| | Reference <Ref> | [1..1] | Text | | 85 |
| | Referencelssuer <RefIssr> | [0..1] | | | 85 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 86 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 86 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 86 |
| | MessageName <MsgNm> | [0..1] | Text | | 87 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 87 |
| Or} | RelatedReference <RltdRef> | [1..1] | | | 87 |
| | Reference <Ref> | [1..1] | Text | | 88 |
| | Referencelssuer <RefIssr> | [0..1] | | | 88 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 88 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 89 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 89 |
| | MessageName <MsgNm> | [0..1] | Text | | 89 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 89 |

8.4.2.1 Reason <Rsn>

Presence: [1..1]

Definition: Reason to reject the message.

Datatype: "MessageRejectedReason2Code" on page 169

| CodeName | Name | Definition |
|----------|--------------------------------|---|
| NALO | NotAllowedRequest | Sending party is not allowed to send this request. |
| REFE | InvalidOrUnrecognisedReference | Request contains an invalid or unrecognised business reference. |

8.4.2.2 AdditionalInformation <AddtlInf>

Presence: [0..1]

Definition: Additional information about the rejection reason.

Datatype: "Max350Text" on page 176

8.4.2.3 LinkedMessage <LkdMsg>

Presence: [0..1]

Definition: Identification of the invalid or unrecognised reference.

LinkedMessage <LkdMsg> contains one of the following **LinkedMessage6Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | PreviousReference <PrvsRef> | [1..1] | | | 82 |
| | Reference <Ref> | [1..1] | Text | | 83 |
| | ReferenceIssuer <RefIssr> | [0..1] | | | 83 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 83 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 84 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 84 |
| | MessageName <MsgNm> | [0..1] | Text | | 84 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 84 |
| Or | OtherReference <OthrRef> | [1..1] | | | 85 |
| | Reference <Ref> | [1..1] | Text | | 85 |
| | ReferenceIssuer <RefIssr> | [0..1] | | | 85 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 86 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 86 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 86 |
| | MessageName <MsgNm> | [0..1] | Text | | 87 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 87 |
| Or} | RelatedReference <RltdRef> | [1..1] | | | 87 |
| | Reference <Ref> | [1..1] | Text | | 88 |
| | ReferenceIssuer <RefIssr> | [0..1] | | | 88 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 88 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 89 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 89 |
| | MessageName <MsgNm> | [0..1] | Text | | 89 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 89 |

8.4.2.3.1 PreviousReference <PrvsRef>

Presence: [1..1]

Definition: Linked previous reference.

PreviousReference <PrvsRef> contains the following **AdditionalReference14** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | Reference <Ref> | [1..1] | Text | | 83 |
| | ReferenceIssuer <RefIssr> | [0..1] | | | 83 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 83 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 84 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 84 |
| | MessageName <MsgNm> | [0..1] | Text | | 84 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 84 |

8.4.2.3.1.1 Reference <Ref>

Presence: [1..1]

Definition: Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

Datatype: "Max35Text" on page 177

8.4.2.3.1.2 ReferenceIssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

ReferenceIssuer <RefIssr> contains one of the following **PartyIdentification247Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 83 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 84 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 84 |

8.4.2.3.1.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 173

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

8.4.2.3.1.2.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

8.4.2.3.1.2.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see "[NameAndAddress5](#)" on page 157 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 157 |
| | Address <Adr> | [0..1] | ± | | 157 |

8.4.2.3.1.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: "[Max35Text](#)" on page 177

8.4.2.3.1.4 MessageNumber <MsgNb>

Presence: [1..1]

Definition: Identification of the type of message.

Impacted by: [C3 "ShortLongNumberRule"](#)

MessageNumber <MsgNb> contains one of the following elements (see "[DocumentNumber5Choice](#)" on page 93 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-----------------------------|--------|------|-------------|------|
| {Or | ShortNumber <ShrtNb> | [1..1] | Text | | 94 |
| Or | LongNumber <LngNb> | [1..1] | Text | | 94 |
| Or} | ProprietaryNumber <PrtryNb> | [1..1] | ± | | 94 |

Constraints

- **ShortLongNumberRule**

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

8.4.2.3.2 OtherReference <OthrRef>

Presence: [1..1]

Definition: Linked other reference.

OtherReference <OthrRef> contains the following **AdditionalReference14** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | Reference <Ref> | [1..1] | Text | | 85 |
| | ReferenceIssuer <RefIssr> | [0..1] | | | 85 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 86 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 86 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 86 |
| | MessageName <MsgNm> | [0..1] | Text | | 87 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 87 |

8.4.2.3.2.1 Reference <Ref>

Presence: [1..1]

Definition: Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

Datatype: "[Max35Text](#)" on page 177

8.4.2.3.2.2 ReferenceIssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

ReferenceIssuer <RefIssr> contains one of the following **PartyIdentification247Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 86 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 86 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 86 |

8.4.2.3.2.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 173

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

8.4.2.3.2.2.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

8.4.2.3.2.2.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see ["NameAndAddress5"](#) on page 157 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 157 |
| | Address <Adr> | [0..1] | ± | | 157 |

8.4.2.3.2.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: ["Max35Text"](#) on page 177

8.4.2.3.2.4 MessageNumber <MsgNb>

Presence: [1..1]

Definition: Identification of the type of message.

Impacted by: [C3 "ShortLongNumberRule"](#)

MessageNumber <MsgNb> contains one of the following elements (see ["DocumentNumber5Choice"](#) on page 93 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-----------------------------|--------|------|-------------|------|
| {Or | ShortNumber <ShrtNb> | [1..1] | Text | | 94 |
| Or | LongNumber <LngNb> | [1..1] | Text | | 94 |
| Or} | ProprietaryNumber <PrtryNb> | [1..1] | ± | | 94 |

Constraints

- **ShortLongNumberRule**

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

8.4.2.3.3 RelatedReference <RltdRef>

Presence: [1..1]

Definition: Linked related reference.

RelatedReference <RltdRef> contains the following **AdditionalReference14** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | Reference <Ref> | [1..1] | Text | | 88 |
| | ReferenceIssuer <RefIssr> | [0..1] | | | 88 |
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 88 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 89 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 89 |
| | MessageName <MsgNm> | [0..1] | Text | | 89 |
| | MessageNumber <MsgNb> | [1..1] | ± | C3 | 89 |

8.4.2.3.3.1 Reference <Ref>

Presence: [1..1]

Definition: Business reference of a message assigned by the party issuing the message. This reference must be unique amongst all messages of the same name sent by the same party.

Datatype: "Max35Text" on page 177

8.4.2.3.3.2 ReferenceIssuer <RefIssr>

Presence: [0..1]

Definition: Issuer of the reference.

ReferenceIssuer <RefIssr> contains one of the following **PartyIdentification247Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C1 | 88 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 89 |
| Or} | NameAndAddress <NmAndAdr> | [1..1] | ± | | 89 |

8.4.2.3.3.2.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C1 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 173

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

8.4.2.3.3.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

8.4.2.3.3.2.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see "[NameAndAddress5](#)" on page 157 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 157 |
| | Address <Adr> | [0..1] | ± | | 157 |

8.4.2.3.3.3 MessageName <MsgNm>

Presence: [0..1]

Definition: Name of a message.

Datatype: "[Max35Text](#)" on page 177

8.4.2.3.3.4 MessageNumber <MsgNb>

Presence: [1..1]

Definition: Identification of the type of message.

Impacted by: [C3 "ShortLongNumberRule"](#)

MessageNumber <MsgNb> contains one of the following elements (see "[DocumentNumber5Choice](#)" on page 93 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-----------------------------|--------|------|-------------|------|
| {Or | ShortNumber <ShrtNb> | [1..1] | Text | | 94 |
| Or | LongNumber <LngNb> | [1..1] | Text | | 94 |
| Or} | ProprietaryNumber <PrtryNb> | [1..1] | ± | | 94 |

Constraints

- **ShortLongNumberRule**

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

9 Message Items Types

9.1 MessageComponents

9.1.1 Date Time

9.1.1.1 DateFormat46Choice

Definition: Choice between an ISODate or ISODateTime format or a date code.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | ± | | 91 |
| Or} | DateCode <DtCd> | [1..1] | | | 91 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 91 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 92 |

9.1.1.1.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Date <Dt> contains one of the following elements (see ["DateAndDateTime2Choice"](#) on page 93 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Date <Dt> | [1..1] | Date | | 93 |
| Or} | DateTime <DtTm> | [1..1] | DateTime | | 93 |

9.1.1.1.2 DateCode <DtCd>

Presence: [1..1]

Definition: Specifies the type of date.

DateCode <DtCd> contains one of the following **DateCode20Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 91 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 92 |

9.1.1.1.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to indicate the date is unknown.

Datatype: ["DateType1Code"](#) on page 166

| CodeName | Name | Definition |
|----------|---------|--|
| UKWN | Unknown | Date is unknown by the sender or has not been established. |

9.1.1.1.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.1.2 DateFormat57Choice

Definition: Provides the date.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Date <Dt> | [1..1] | Date | | 92 |
| Or} | DateCode <DtCd> | [1..1] | | | 92 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 92 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 93 |

9.1.1.2.1 Date <Dt>

Presence: [1..1]

Definition: Date expressed as a calendar date.

Datatype: "[ISODate](#)" on page 172

9.1.1.2.2 DateCode <DtCd>

Presence: [1..1]

Definition: Date is expressed using a code.

DateCode <DtCd> contains one of the following **DateCode20Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 92 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 93 |

9.1.1.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Standard code to indicate the date is unknown.

Datatype: "DateType1Code" on page 166

| CodeName | Name | Definition |
|----------|---------|--|
| UKWN | Unknown | Date is unknown by the sender or has not been established. |

9.1.1.2.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Proprietary identification of the type of date.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.1.3 DateAndDateTime2Choice

Definition: Choice between a date or a date and time format.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Date <Dt> | [1..1] | Date | | 93 |
| Or} | DateTime <DtTm> | [1..1] | DateTime | | 93 |

9.1.1.3.1 Date <Dt>

Presence: [1..1]

Definition: Specified date.

Datatype: "ISODate" on page 172

9.1.1.3.2 DateTime <DtTm>

Presence: [1..1]

Definition: Specified date and time.

Datatype: "ISODateTime" on page 172

9.1.2 Document

9.1.2.1 DocumentNumber5Choice

Definition: Choice between a short document number, a long document number or a proprietary document number.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-----------------------------|--------|------|-------------|------|
| {Or | ShortNumber <ShrtNb> | [1..1] | Text | | 94 |
| Or | LongNumber <LngNb> | [1..1] | Text | | 94 |
| Or} | ProprietaryNumber <PrtryNb> | [1..1] | ± | | 94 |

Constraints

- **ShortLongNumberRule**

ShortNumber must contain the FIN message type number of the linked message. LongNumber must contain the XML message identifier of the linked message.

9.1.2.1.1 ShortNumber <ShrtNb>

Presence: [1..1]

Definition: Message type number of the document referenced.

Datatype: "Exact3NumericText" on page 175

9.1.2.1.2 LongNumber <LngNb>

Presence: [1..1]

Definition: MX Message identifier of the referenced document.

Datatype: "ISO20022MessageIdentificationText" on page 175

9.1.2.1.3 ProprietaryNumber <PrtryNb>

Presence: [1..1]

Definition: Proprietary document identification.

ProprietaryNumber <PrtryNb> contains the following elements (see "GenericIdentification36" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

9.1.3 Financial Institution Identification**9.1.3.1 ClearingSystemMemberIdentification2**

Definition: Unique identification, as assigned by a clearing system, to unambiguously identify a member of the clearing system.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
| | ClearingSystemIdentification <ClrSysId> | [0..1] | ± | | 95 |
| | MemberIdentification <Mmbld> | [1..1] | Text | | 95 |

9.1.3.1.1 ClearingSystemIdentification <ClrSysId>

Presence: [0..1]

Definition: Specification of a pre-agreed offering between clearing agents or the channel through which the payment instruction is processed.

ClearingSystemIdentification <ClrSysId> contains one of the following elements (see "[ClearingSystemIdentification2Choice](#)" on page 164 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 164 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 164 |

9.1.3.1.2 MemberIdentification <Mmbld>

Presence: [1..1]

Definition: Identification of a member of a clearing system.

Datatype: "[Max35Text](#)" on page 177

9.1.3.2 FinancialInstitutionIdentification18

Definition: Specifies the details to identify a financial institution.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|--|--------|---------------|-------------|------|
| | BICFI <BICFI> | [0..1] | IdentifierSet | C2 | 95 |
| | ClearingSystemMemberIdentification <ClrSysMmbld> | [0..1] | ± | | 96 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 96 |
| | Name <Nm> | [0..1] | Text | | 96 |
| | PostalAddress <PstlAdr> | [0..1] | ± | | 96 |
| | Other <Othr> | [0..1] | ± | | 97 |

9.1.3.2.1 BICFI <BICFI>

Presence: [0..1]

Definition: Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: [C2 "BICFI"](#)

Datatype: "[BICFIDec2014Identifier](#)" on page 173

Constraints

- **BICFI**

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

9.1.3.2.2 ClearingSystemMemberIdentification <ClrSysMmbld>

Presence: [0..1]

Definition: Information used to identify a member within a clearing system.

ClearingSystemMemberIdentification <ClrSysMmbld> contains the following elements (see "[ClearingSystemMemberIdentification2](#)" on page 94 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
| | ClearingSystemIdentification <ClrSysId> | [0..1] | ± | | 95 |
| | MemberIdentification <Mmbld> | [1..1] | Text | | 95 |

9.1.3.2.3 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identifier of the financial institution.

Datatype: "[LEIIdentifier](#)" on page 174

9.1.3.2.4 Name <Nm>

Presence: [0..1]

Definition: Name by which an agent is known and which is usually used to identify that agent.

Datatype: "[Max140Text](#)" on page 176

9.1.3.2.5 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Information that locates and identifies a specific address, as defined by postal services.

PostalAddress <PstIAdr> contains the following elements (see "PostalAddress24" on page 158 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | | | 159 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 159 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 159 |
| | Department <Dept> | [0..1] | Text | | 159 |
| | SubDepartment <SubDept> | [0..1] | Text | | 160 |
| | StreetName <StrtNm> | [0..1] | Text | | 160 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 160 |
| | BuildingName <BldgNm> | [0..1] | Text | | 160 |
| | Floor <Flr> | [0..1] | Text | | 160 |
| | PostBox <PstBx> | [0..1] | Text | | 160 |
| | Room <Room> | [0..1] | Text | | 160 |
| | PostCode <PstCd> | [0..1] | Text | | 160 |
| | TownName <TwnNm> | [0..1] | Text | | 161 |
| | TownLocationName <TwnLctnNm> | [0..1] | Text | | 161 |
| | DistrictName <DstrctNm> | [0..1] | Text | | 161 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 161 |
| | Country <Ctry> | [0..1] | CodeSet | C2 | 161 |
| | AddressLine <AdrLine> | [0..7] | Text | | 161 |

9.1.3.2.6 Other <Othr>

Presence: [0..1]

Definition: Unique identification of an agent, as assigned by an institution, using an identification scheme.

Other <Othr> contains the following elements (see "GenericFinancialIdentification1" on page 100 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 100 |
| | SchemeName <SchmeNm> | [0..1] | | | 101 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 101 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 101 |
| | Issuer <Issr> | [0..1] | Text | | 101 |

9.1.3.3 BranchData3

Definition: Information that locates and identifies a specific branch of a financial institution.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|---------------|-------------|------|
| | Identification <Id> | [0..1] | Text | | 98 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 98 |
| | Name <Nm> | [0..1] | Text | | 98 |
| | PostalAddress <PstlAdr> | [0..1] | ± | | 98 |

9.1.3.3.1 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification of a branch of a financial institution.

Datatype: "Max35Text" on page 177

9.1.3.3.2 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification for the branch of the financial institution.

Datatype: "LEIIdentifier" on page 174

9.1.3.3.3 Name <Nm>

Presence: [0..1]

Definition: Name by which an agent is known and which is usually used to identify that agent.

Datatype: "Max140Text" on page 176

9.1.3.3.4 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Information that locates and identifies a specific address, as defined by postal services.

PostalAddress <PstIAdr> contains the following elements (see "PostalAddress24" on page 158 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | | | 159 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 159 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 159 |
| | Department <Dept> | [0..1] | Text | | 159 |
| | SubDepartment <SubDept> | [0..1] | Text | | 160 |
| | StreetName <StrtNm> | [0..1] | Text | | 160 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 160 |
| | BuildingName <BldgNm> | [0..1] | Text | | 160 |
| | Floor <Flr> | [0..1] | Text | | 160 |
| | PostBox <PstBx> | [0..1] | Text | | 160 |
| | Room <Room> | [0..1] | Text | | 160 |
| | PostCode <PstCd> | [0..1] | Text | | 160 |
| | TownName <TwnNm> | [0..1] | Text | | 161 |
| | TownLocationName <TwnLctnNm> | [0..1] | Text | | 161 |
| | DistrictName <DstrctNm> | [0..1] | Text | | 161 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 161 |
| | Country <Ctry> | [0..1] | CodeSet | C2 | 161 |
| | AddressLine <AdrLine> | [0..7] | Text | | 161 |

9.1.3.4 BranchAndFinancialInstitutionIdentification6

Definition: Unique and unambiguous identification of a financial institution or a branch of a financial institution.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|---|--------|------|-------------|------|
| | FinancialInstitutionIdentification <FinInstnId> | [1..1] | ± | | 99 |
| | BranchIdentification <BrnchId> | [0..1] | ± | | 100 |

9.1.3.4.1 FinancialInstitutionIdentification <FinInstnId>

Presence: [1..1]

Definition: Unique and unambiguous identification of a financial institution, as assigned under an internationally recognised or proprietary identification scheme.

FinancialInstitutionIdentification <FinInstnId> contains the following elements (see "FinancialInstitutionIdentification18" on page 95 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|--|--------|---------------|-------------|------|
| | BICFI <BICFI> | [0..1] | IdentifierSet | C2 | 95 |
| | ClearingSystemMemberIdentification <ClrSysMmbld> | [0..1] | ± | | 96 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 96 |
| | Name <Nm> | [0..1] | Text | | 96 |
| | PostalAddress <PstlAdr> | [0..1] | ± | | 96 |
| | Other <Othr> | [0..1] | ± | | 97 |

9.1.3.4.2 BranchIdentification <BrnchId>

Presence: [0..1]

Definition: Identifies a specific branch of a financial institution.

Usage: This component should be used in case the identification information in the financial institution component does not provide identification up to branch level.

BranchIdentification <BrnchId> contains the following elements (see "BranchData3" on page 98 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|---------------|-------------|------|
| | Identification <Id> | [0..1] | Text | | 98 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 98 |
| | Name <Nm> | [0..1] | Text | | 98 |
| | PostalAddress <PstlAdr> | [0..1] | ± | | 98 |

9.1.3.5 GenericFinancialIdentification1

Definition: Information related to an identification of a financial institution.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 100 |
| | SchemeName <SchmeNm> | [0..1] | | | 101 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 101 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 101 |
| | Issuer <Issr> | [0..1] | Text | | 101 |

9.1.3.5.1 Identification <Id>

Presence: [1..1]

Definition: Unique and unambiguous identification of a person.

Datatype: "Max35Text" on page 177

9.1.3.5.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

SchemeName <SchmeNm> contains one of the following **FinancialIdentificationSchemeName1Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 101 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 101 |

9.1.3.5.2.1 Code <Cd>

Presence: [1..1]

Definition: Name of the identification scheme, in a coded form as published in an external list.

Datatype: "ExternalFinancialInstitutionIdentification1Code" on page 167

9.1.3.5.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Name of the identification scheme, in a free text form.

Datatype: "Max35Text" on page 177

9.1.3.5.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 177

9.1.4 Financial Instrument

9.1.4.1 SecurityIdentification19

Definition: Identification of a security.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|------------------------------|--------|---------------|-------------|------|
| | ISIN <ISIN> | [0..1] | IdentifierSet | | 102 |
| | OtherIdentification <OthrId> | [0..*] | | | 102 |
| | Identification <Id> | [1..1] | Text | | 103 |
| | Suffix <Sfx> | [0..1] | Text | | 103 |
| | Type <Tp> | [1..1] | ± | | 103 |
| | Description <Desc> | [0..1] | Text | | 103 |

Constraints

- **DescriptionPresenceRule**

If Description is not present then either ISIN or at least one occurrence of OtherIdentification must be present.

```
On Condition
    /Description is absent
Following Must be True
    /ISIN Must be present
Or    /OtherIdentification[*] Must be present
```

- **DescriptionUsageRule**

Description must be used alone as the last resort.

- **ISINGuideline**

When an ISIN code exists, it is strongly recommended that the ISIN be used.

- **ISINPresenceRule**

If ISIN is not present then either Description or at least one occurrence of OtherIdentification must be present.

```
On Condition
    /ISIN is absent
Following Must be True
    /OtherIdentification[*] Must be present
Or    /Description Must be present
```

- **OtherIdentificationPresenceRule**

If OtherIdentification is not present then either ISIN or Description must be present.

```
On Condition
    /OtherIdentification[*] is absent
Following Must be True
    /ISIN Must be present
Or    /Description Must be present
```

9.1.4.1.1 ISIN <ISIN>

Presence: [0..1]

Definition: International Securities Identification Number (ISIN). A numbering system designed by the United Nation's International Organisation for Standardisation (ISO). The ISIN is composed of a 2-character prefix representing the country of issue, followed by the national security number (if one exists), and a check digit. Each country has a national numbering agency that assigns ISIN numbers for securities in that country.

Datatype: "ISINOct2015Identifier" on page 174

9.1.4.1.2 OtherIdentification <Othrid>

Presence: [0..*]

Definition: Identification of a security by proprietary or domestic identification scheme.

OtherIdentification <OthrId> contains the following **OtherIdentification1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 103 |
| | Suffix <Sfx> | [0..1] | Text | | 103 |
| | Type <Tp> | [1..1] | ± | | 103 |

9.1.4.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: "Max35Text" on page 177

9.1.4.1.2.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: "Max16Text" on page 176

9.1.4.1.2.3 Type <Tp>

Presence: [1..1]

Definition: Type of the identification.

Type <Tp> contains one of the following elements (see "IdentificationSource3Choice" on page 103 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 104 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 104 |

9.1.4.1.3 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: "Max140Text" on page 176

9.1.5 Identification Information

9.1.5.1 IdentificationSource3Choice

Definition: Choice between source of identification of a financial instrument.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 104 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 104 |

9.1.5.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Unique and unambiguous identification source, as assigned via a pre-determined code list.*Datatype:* "ExternalFinancialInstrumentIdentificationType1Code" on page 168**9.1.5.1.2 Proprietary <Prtry>***Presence:* [1..1]*Definition:* Unique and unambiguous identification source using a proprietary identification scheme.*Datatype:* "Max35Text" on page 177**9.1.5.2 GenericIdentification30***Definition:* Information related to an identification, for example, party identification or account identification.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.5.2.1 Identification <Id>*Presence:* [1..1]*Definition:* Proprietary information, often a code, issued by the data source scheme issuer.*Datatype:* "Exact4AlphaNumericText" on page 175**9.1.5.2.2 Issuer <Issr>***Presence:* [1..1]*Definition:* Entity that assigns the identification.*Datatype:* "Max35Text" on page 177**9.1.5.2.3 SchemeName <SchmeNm>***Presence:* [0..1]*Definition:* Short textual description of the scheme.*Datatype:* "Max35Text" on page 177**9.1.5.3 GenericIdentification36***Definition:* Identification using a proprietary scheme.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

9.1.5.3.1 Identification <Id>

Presence: [1..1]

Definition: Proprietary information, often a code, issued by the data source scheme issuer.

Datatype: "Max35Text" on page 177

9.1.5.3.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 177

9.1.5.3.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "Max35Text" on page 177

9.1.6 Miscellaneous

9.1.6.1 SupplementaryData1

Definition: Additional information that can not be captured in the structured fields and/or any other specific block.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|-------------------|-------------|------|
| | PlaceAndName <PlcAndNm> | [0..1] | Text | | 105 |
| | Envelope <Envlp> | [1..1] | (External Schema) | | 106 |

Constraints

- **SupplementaryDataRule**

This component may not be used without the explicit approval of a SEG and submission to the RA of ISO 20022 compliant structure(s) to be used in the Envelope element.

9.1.6.1.1 PlaceAndName <PlcAndNm>

Presence: [0..1]

Definition: Unambiguous reference to the location where the supplementary data must be inserted in the message instance.

In the case of XML, this is expressed by a valid XPath.

Datatype: "Max350Text" on page 176

9.1.6.1.2 Envelope <Envlp>

Presence: [1..1]

Definition: Technical element wrapping the supplementary data.

Type: (External Schema)

Technical component that contains the validated supplementary data information. This technical envelope allows to segregate the supplementary data information from any other information.

9.1.6.2 DateAndPlaceOfBirth2

Definition: Date and place of birth of a person.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------------|--------|---------|-------------|------|
| | BirthDate <BirthDt> | [1..1] | Date | | 106 |
| | ProvinceOfBirth <PrvcOfBirth> | [0..1] | Text | | 106 |
| | CityOfBirth <CityOfBirth> | [0..1] | Text | | 106 |
| | CountryOfBirth <CtryOfBirth> | [0..1] | CodeSet | C2 | 106 |

9.1.6.2.1 BirthDate <BirthDt>

Presence: [1..1]

Definition: Date on which a person is born.

Datatype: "ISODate" on page 172

9.1.6.2.2 ProvinceOfBirth <PrvcOfBirth>

Presence: [0..1]

Definition: Province where a person was born.

Datatype: "Max35Text" on page 177

9.1.6.2.3 CityOfBirth <CityOfBirth>

Presence: [0..1]

Definition: City where a person was born.

Datatype: "Max35Text" on page 177

9.1.6.2.4 CountryOfBirth <CtryOfBirth>

Presence: [0..1]

Definition: Country where a person was born.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 166

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.6.3 NaturalPersonIdentification1

Definition: Identification number and identification type of a natural person.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 107 |
| | IdentificationType <IdTp> | [0..1] | | | 107 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 107 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 108 |

9.1.6.3.1 Identification <Id>

Presence: [1..1]

Definition: Natural person local identification.

Datatype: "Max35Text" on page 177

9.1.6.3.2 IdentificationType <IdTp>

Presence: [0..1]

Definition: Type of local identification for a natural person.

IdentificationType <IdTp> contains one of the following **IdentificationType45Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 107 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 108 |

9.1.6.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Type of identification expressed as a code.

Datatype: "TypeOfIdentification4Code" on page 171

| CodeName | Name | Definition |
|----------|-------------------------|--|
| ARNU | AlienRegistrationNumber | Number assigned by a government agency to identify foreign nationals. |
| CUST | Concat | Number assigned by an issuer to identify a customer via the concatenation of the birthdate and characters of the first name and surname. |
| CORP | CorporateIdentification | Number assigned to a corporate entity. |

| CodeName | Name | Definition |
|----------|--|--|
| DRLC | DriverLicenseNumber | Number assigned to a driver's license. |
| IDCD | IdentityCardNumber | Number assigned by a national authority to an identity card. |
| NRIN | NationalRegistrationIdentificationNumber | National registration identification number. In Singapore this is known as the NRIC. |
| CCPT | PassportNumber | Number assigned by a passport authority. |
| SOCS | SocialSecurityNumber | Number assigned by a social security agency. |
| TXID | TaxIdentificationNumber | Number assigned by a tax authority to an entity. |

9.1.6.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Type of identification expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.6.4 PartyRole6Choice

Definition: Choice between a code and or a data source scheme to determine the role of the party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 108 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 109 |

9.1.6.4.1 Code <Cd>

Presence: [1..1]

Definition: Role expressed as a code.

Datatype: "[PartyRole2Code](#)" on page 170

| CodeName | Name | Definition |
|----------|---------------|---|
| DIST | Distributor | Party that act as an wholesaler of funds. |
| LGRD | LegalGuardian | Party that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated. |

| CodeName | Name | Definition |
|----------|---------------|---|
| DECM | DecisionMaker | Party that is authorised to take investment decisions on behalf of the shareholder. |

9.1.6.4.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Role expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.6.5 PartyIdentification195Choice

Definition: Identification of a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 109 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 109 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 110 |

9.1.6.5.1 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C2 "AnyBIC"

Datatype: "[AnyBICDec2014Identifier](#)" on page 173

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

9.1.6.5.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

9.1.6.5.3 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "[LEIIdentifier](#)" on page 174

9.1.6.6 RequestShareHeldDate1Choice

Definition: Choice between different ways of specifying the method to determine as from when shares have been held by an investor.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------|-------------|------|
| {Or | DateCalculationMethod <DtClctnMtd> | [1..1] | CodeSet | | 110 |
| Or} | DateCalculationDescription <DtClctnDesc> | [1..1] | Text | | 110 |

9.1.6.6.1 DateCalculationMethod <DtClctnMtd>

Presence: [1..1]

Definition: Indicates what is the logical method to be used to determine and communicate from which date the shares have been held.

Datatype: "[DateCalculationMethod1Code](#)" on page 166

| CodeName | Name | Definition |
|----------|------|----------------------|
| FIFO | Fifo | First in, first out. |
| LIFO | Lifo | Last in, first out. |

9.1.6.6.2 DateCalculationDescription <DtClctnDesc>

Presence: [1..1]

Definition: Provides the description on how the date from which the shares have been held should be determined and communicated.

Datatype: "[Max350Text](#)" on page 176

9.1.6.7 Pagination1

Definition: Number used to sequence pages when it is not possible for data to be conveyed in a single message and the data has to be split across several pages (messages).

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------------|--------|-----------|-------------|------|
| | PageNumber <PgNb> | [1..1] | Text | | 111 |
| | LastPageIndicator <LastPgInd> | [1..1] | Indicator | | 111 |

9.1.6.7.1 PageNumber <PgNb>

Presence: [1..1]

Definition: Page number.

Datatype: "Max5NumericText" on page 177

9.1.6.7.2 LastPageIndicator <LastPgInd>

Presence: [1..1]

Definition: Indicates the last page.

Datatype: One of the following values must be used (see "YesNoIndicator" on page 174):

- *Meaning When True:* Yes
- *Meaning When False:* No

9.1.7 Organisation Identification

9.1.7.1 OrganisationIdentification29

Definition: Unique and unambiguous way to identify an organisation.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------------|-------------|------|
| | AnyBIC <AnyBIC> | [0..1] | IdentifierSet | C2 | 111 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 112 |
| | Other <Othr> | [0..*] | | | 112 |
| | Identification <Id> | [1..1] | Text | | 112 |
| | SchemeName <SchmeNm> | [0..1] | | | 112 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 112 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 113 |
| | Issuer </ssr> | [0..1] | Text | | 113 |

9.1.7.1.1 AnyBIC <AnyBIC>

Presence: [0..1]

Definition: Business identification code of the organisation.

Impacted by: C2 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 173

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

9.1.7.1.2 LEI <LEI>

Presence: [0..1]

Definition: Legal entity identification as an alternate identification for a party.

Datatype: "LEIIdentifier" on page 174

9.1.7.1.3 Other <Othr>

Presence: [0..*]

Definition: Unique identification of an organisation, as assigned by an institution, using an identification scheme.

Other <Othr> contains the following **GenericOrganisationIdentification1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 112 |
| | SchemeName <SchmeNm> | [0..1] | | | 112 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 112 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 113 |
| | Issuer <Issr> | [0..1] | Text | | 113 |

9.1.7.1.3.1 Identification <Id>

Presence: [1..1]

Definition: Identification assigned by an institution.

Datatype: "Max35Text" on page 177

9.1.7.1.3.2 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Name of the identification scheme.

SchemeName <SchmeNm> contains one of the following **OrganisationIdentificationSchemeName1Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 112 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 113 |

9.1.7.1.3.2.1 Code <Cd>

Presence: [1..1]

Definition: Name of the identification scheme, in a coded form as published in an external list.

Datatype: "ExternalOrganisationIdentification1Code" on page 168

9.1.7.1.3.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Name of the identification scheme, in a free text form.

Datatype: "Max35Text" on page 177

9.1.7.1.3.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 177

9.1.8 Party Identification

9.1.8.1 PartyIdentification135

Definition: Specifies the identification of a person or an organisation.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|--------------------------------|--------|---------|-------------|------|
| | Name <Nm> | [0..1] | Text | | 113 |
| | PostalAddress <PstlAdr> | [0..1] | ± | | 113 |
| | Identification <Id> | [0..1] | ± | | 114 |
| | CountryOfResidence <CtryOfRes> | [0..1] | CodeSet | C2 | 114 |
| | ContactDetails <CtctDtls> | [0..1] | ± | | 115 |

9.1.8.1.1 Name <Nm>

Presence: [0..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "Max140Text" on page 176

9.1.8.1.2 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Information that locates and identifies a specific address, as defined by postal services.

PostalAddress <PstIAdr> contains the following elements (see "[PostalAddress24](#)" on page 158 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | | | 159 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 159 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 159 |
| | Department <Dept> | [0..1] | Text | | 159 |
| | SubDepartment <SubDept> | [0..1] | Text | | 160 |
| | StreetName <StrtNm> | [0..1] | Text | | 160 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 160 |
| | BuildingName <BldgNm> | [0..1] | Text | | 160 |
| | Floor <Flr> | [0..1] | Text | | 160 |
| | PostBox <PstBx> | [0..1] | Text | | 160 |
| | Room <Room> | [0..1] | Text | | 160 |
| | PostCode <PstCd> | [0..1] | Text | | 160 |
| | TownName <TwnNm> | [0..1] | Text | | 161 |
| | TownLocationName <TwnLctnNm> | [0..1] | Text | | 161 |
| | DistrictName <DstrctNm> | [0..1] | Text | | 161 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 161 |
| | Country <Ctry> | [0..1] | CodeSet | C2 | 161 |
| | AddressLine <AdrLine> | [0..7] | Text | | 161 |

9.1.8.1.3 Identification <Id>

Presence: [0..1]

Definition: Unique and unambiguous identification of a party.

Identification <Id> contains one of the following elements (see "[Party38Choice](#)" on page 148 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|------------------------------------|--------|------|-------------|------|
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 148 |
| Or} | PrivateIdentification <PrvtId> | [1..1] | ± | | 149 |

9.1.8.1.4 CountryOfResidence <CtryOfRes>

Presence: [0..1]

Definition: Country in which a person resides (the place of a person's home). In the case of a company, it is the country from which the affairs of that company are directed.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 166

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.8.1.5 ContactDetails <CtctDtls>

Presence: [0..1]

Definition: Set of elements used to indicate how to contact the party.

ContactDetails <CtctDtls> contains the following elements (see "Contact4" on page 152 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-----------------------------|--------|---------|-------------|------|
| | NamePrefix <NmPrfx> | [0..1] | CodeSet | | 152 |
| | Name <Nm> | [0..1] | Text | | 153 |
| | PhoneNumber <PhneNb> | [0..1] | Text | | 153 |
| | MobileNumber <MobNb> | [0..1] | Text | | 153 |
| | FaxNumber <FaxNb> | [0..1] | Text | | 153 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 153 |
| | EmailPurpose <EmailPurp> | [0..1] | Text | | 153 |
| | JobTitle <JobTitl> | [0..1] | Text | | 153 |
| | Responsibility <Rspnsblty> | [0..1] | Text | | 154 |
| | Department <Dept> | [0..1] | Text | | 154 |
| | Other <Othr> | [0..*] | | | 154 |
| | ChannelType <ChanlTp> | [1..1] | Text | | 154 |
| | Identification <Id> | [0..1] | Text | | 154 |
| | PreferredMethod <PrefrdMtd> | [0..1] | CodeSet | | 154 |

9.1.8.2 PartyIdentification198Choice

Definition: Identification of a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | NationalRegistrationNumber <NtlRegnNb> | [1..1] | Text | | 116 |
| Or | LEI <LEI> | [1..1] | IdentifierSet | | 116 |
| Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 116 |
| Or | ClientIdentification <CIntld> | [1..1] | Text | | 116 |
| Or} | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 116 |

9.1.8.2.1 NationalRegistrationNumber <NtlRegnNb>

Presence: [1..1]

Definition: Number assigned by a national registration authority to an entity.

Datatype: "Max35Text" on page 177

9.1.8.2.2 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identifier of the party.

Datatype: "LEIIdentifier" on page 174

9.1.8.2.3 AnyBIC <AnyBIC>

Presence: [1..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C2 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 173

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

9.1.8.2.4 ClientIdentification <CIntld>

Presence: [1..1]

Definition: Unique and unambiguous identification of the client's counterparty.

Datatype: "Max50Text" on page 177

9.1.8.2.5 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

9.1.8.3 PartyIdentification237

Definition: Identification of a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | NameAndAddress <NmAndAdr> | [1..1] | | | 118 |
| | Name <Nm> | [1..1] | Text | | 119 |
| | Address <Adr> | [0..1] | | | 119 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 120 |
| | AddressLine <AdrLine> | [0..5] | Text | | 120 |
| | StreetName <StrtNm> | [0..1] | Text | | 120 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 120 |
| | PostBox <PstBx> | [0..1] | Text | | 120 |
| | PostCode <PstCd> | [0..1] | Text | | 120 |
| | TownName <TwnNm> | [0..1] | Text | | 121 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 121 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 121 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 121 |
| | Identification <Id> | [1..1] | ± | | 121 |
| | CountryOfIncorporation <CtryOfIncorprtn> | [0..1] | CodeSet | C2 | 121 |
| | YearOfIncorporation <YrOfIncorprtn> | [0..1] | Year | | 122 |
| | ActivityIndicator <ActvtyInd> | [0..1] | IdentifierSet | | 122 |
| | InvestorType <InvstrTp> | [0..1] | | | 122 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 122 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 123 |
| | Ownership <Ownrsh> | [0..1] | | | 123 |
| | OwnershipType <OwnrshTp> | [0..1] | | | 123 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 123 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 124 |
| | OwnershipPercentage <OwnrshPctg> | [0..1] | Rate | | 124 |
| | UsufructPercentage <UsfrctPctg> | [0..1] | Rate | | 124 |

9.1.8.3.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **NameAndAddress17** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 119 |
| | Address <Adr> | [0..1] | | | 119 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 120 |
| | AddressLine <AdrLine> | [0..5] | Text | | 120 |
| | StreetName <StrtNm> | [0..1] | Text | | 120 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 120 |
| | PostBox <PstBx> | [0..1] | Text | | 120 |
| | PostCode <PstCd> | [0..1] | Text | | 120 |
| | TownName <TwnNm> | [0..1] | Text | | 121 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 121 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 121 |

9.1.8.3.1.1 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "Max350Text" on page 176

9.1.8.3.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | CodeSet | | 120 |
| | AddressLine <AdrLine> | [0..5] | Text | | 120 |
| | StreetName <StrtNm> | [0..1] | Text | | 120 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 120 |
| | PostBox <PstBx> | [0..1] | Text | | 120 |
| | PostCode <PstCd> | [0..1] | Text | | 120 |
| | TownName <TwnNm> | [0..1] | Text | | 121 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 121 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 121 |

9.1.8.3.1.2.1 AddressType <AdrTp>*Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 165

| CodeName | Name | Definition |
|----------|-------------|--|
| ADDR | Postal | Address is the complete postal address. |
| PBOX | POBox | Address is a postal office (PO) box. |
| HOME | Residential | Address is the home address. |
| BIZZ | Business | Address is the business address. |
| MLTO | MailTo | Address is the address to which mail is sent. |
| DLVY | DeliveryTo | Address is the address to which delivery is to take place. |

9.1.8.3.1.2.2 AddressLine <AdrLine>*Presence:* [0..5]*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.*Datatype:* "Max70Text" on page 177**9.1.8.3.1.2.3 StreetName <StrtNm>***Presence:* [0..1]*Definition:* Name of a street or thoroughfare.*Datatype:* "Max70Text" on page 177**9.1.8.3.1.2.4 BuildingNumber <BldgNb>***Presence:* [0..1]*Definition:* Number that identifies the position of a building on a street.*Datatype:* "Max16Text" on page 176**9.1.8.3.1.2.5 PostBox <PstBx>***Presence:* [0..1]*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.*Datatype:* "Max16Text" on page 176**9.1.8.3.1.2.6 PostCode <PstCd>***Presence:* [0..1]*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.*Datatype:* "Max16Text" on page 176

9.1.8.3.1.2.7 TownName <TwnNm>*Presence:* [0..1]*Definition:* Name of a built-up area, with defined boundaries, and a local government.*Datatype:* "Max35Text" on page 177**9.1.8.3.1.2.8 CountrySubDivision <CtrySubDvsn>***Presence:* [0..1]*Definition:* Identifies a subdivision of a country for example, state, region, county.*Datatype:* "Max35Text" on page 177**9.1.8.3.1.2.9 Country <Ctry>***Presence:* [1..1]*Definition:* Nation with its own government.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 166**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.8.3.2 EmailAddress <EmailAdr>*Presence:* [0..1]*Definition:* Address for electronic mail (e-mail).*Datatype:* "Max256Text" on page 176**9.1.8.3.3 Identification <Id>***Presence:* [1..1]*Definition:* Identification of the party.

Identification <Id> contains one of the following elements (see "PartyIdentification198Choice" on page 115 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | NationalRegistrationNumber <NtlRegnNb> | [1..1] | Text | | 116 |
| Or | LEI <LEI> | [1..1] | IdentifierSet | | 116 |
| Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 116 |
| Or | ClientIdentification <ClnId> | [1..1] | Text | | 116 |
| Or} | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 116 |

9.1.8.3.4 CountryOfIncorporation <CtryOfIncorprtn>*Presence:* [0..1]

Definition: Country in which the company is incorporated or legally registered.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 166

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.8.3.5 YearOfIncorporation <YrOfIncorprtn>

Presence: [0..1]

Definition: Year during which the legal entity was officially incorporated.

Datatype: "ISOYear" on page 178

9.1.8.3.6 ActivityIndicator <ActvtyInd>

Presence: [0..1]

Definition: Economical activity of the investor.

Datatype: "ISICIdentifier" on page 173

9.1.8.3.7 InvestorType <InvstrTp>

Presence: [0..1]

Definition: Type of investor.

InvestorType <InvstrTp> contains one of the following **InvestorType1Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 122 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 123 |

9.1.8.3.7.1 Code <Cd>

Presence: [1..1]

Definition: Investor type expressed as an ISO 20022 code.

Datatype: "Eligibility1Code" on page 167

| CodeName | Name | Definition |
|----------|----------------------|---|
| ELIG | EligibleCounterparty | Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules. |
| RETL | RetailClient | Retail customers are the least sophisticated level of investor. |
| PROF | ProfessionalClient | Professional customers are, for example, investment firms, credit institutions, insurance companies. |

9.1.8.3.7.2 Proprietary <Prtry>*Presence:* [1..1]*Definition:* Investor type expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification30" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.8.3.8 Ownership <Ownrsh>*Presence:* [0..1]*Definition:* Information about the ownership on an asset.**Ownership <Ownrsh>** contains the following **Ownership1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
| | OwnershipType <OwnrshTp> | [0..1] | | | 123 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 123 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 124 |
| | OwnershipPercentage <OwnrshPctg> | [0..1] | Rate | | 124 |
| | UsufructPercentage <UsfrctPctg> | [0..1] | Rate | | 124 |

9.1.8.3.8.1 OwnershipType <OwnrshTp>*Presence:* [0..1]*Definition:* Specifies the type of ownership.**OwnershipType <OwnrshTp>** contains one of the following **OwnershipType3Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 123 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 124 |

9.1.8.3.8.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Owner type expressed as an ISO 20022 code.*Datatype:* "AccountOwnershipType5Code" on page 165

| CodeName | Name | Definition |
|----------|--------------|-------------------|
| USUF | Usufructuary | The person is ... |

| CodeName | Name | Definition |
|----------|-----------|---|
| OWNR | Owner | A person has full ownership on the asset. |
| BOWN | BareOwner | A person has bare ownership on the asset. |

9.1.8.3.8.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Owner type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.8.3.8.2 OwnershipPercentage <OwnrshPctg>

Presence: [0..1]

Definition: Percentage of ownership that a person has on an asset.

Datatype: "[PercentageRate](#)" on page 175

9.1.8.3.8.3 UsufructPercentage <UsfrctPctg>

Presence: [0..1]

Definition: Percentage of usufruct that a person has on an asset.

Datatype: "[PercentageRate](#)" on page 175

9.1.8.4 PartyIdentification202

Definition: Identification of a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | NameAndAddress <NmAndAdr> | [1..1] | | | 125 |
| | FirstName <FrstNm> | [1..1] | Text | | 126 |
| | Surname <SrnM> | [1..1] | Text | | 126 |
| | Address <Adr> | [0..1] | | | 126 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 126 |
| | AddressLine <AdrLine> | [0..5] | Text | | 127 |
| | StreetName <StrtNm> | [0..1] | Text | | 127 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 127 |
| | PostBox <PstBx> | [0..1] | Text | | 127 |
| | PostCode <PstCd> | [0..1] | Text | | 127 |
| | TownName <TwnNm> | [0..1] | Text | | 127 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 127 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 127 |
| | Identification <Id> | [1..1] | ± | | 128 |

9.1.8.4.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **PersonName1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | FirstName <FrstNm> | [1..1] | Text | | 126 |
| | Surname <SrnM> | [1..1] | Text | | 126 |
| | Address <Adr> | [0..1] | | | 126 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 126 |
| | AddressLine <AdrLine> | [0..5] | Text | | 127 |
| | StreetName <StrtNm> | [0..1] | Text | | 127 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 127 |
| | PostBox <PstBx> | [0..1] | Text | | 127 |
| | PostCode <PstCd> | [0..1] | Text | | 127 |
| | TownName <TwnNm> | [0..1] | Text | | 127 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 127 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 127 |

9.1.8.4.1.1 FirstName <FrstNm>*Presence:* [1..1]*Definition:* First name(s) by which a natural person is known.*Datatype:* "Max350Text" on page 176**9.1.8.4.1.2 Surname <SrnM>***Presence:* [1..1]*Definition:* Name (s) by which a natural person is known and which is usually used to identify that party.*Datatype:* "Max350Text" on page 176**9.1.8.4.1.3 Address <Adr>***Presence:* [0..1]*Definition:* Postal address of the party.**Address <Adr>** contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | CodeSet | | 126 |
| | AddressLine <AdrLine> | [0..5] | Text | | 127 |
| | StreetName <StrtNm> | [0..1] | Text | | 127 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 127 |
| | PostBox <PstBx> | [0..1] | Text | | 127 |
| | PostCode <PstCd> | [0..1] | Text | | 127 |
| | TownName <TwnNm> | [0..1] | Text | | 127 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 127 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 127 |

9.1.8.4.1.3.1 AddressType <AdrTp>*Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 165

| CodeName | Name | Definition |
|----------|-------------|--|
| ADDR | Postal | Address is the complete postal address. |
| PBOX | POBox | Address is a postal office (PO) box. |
| HOME | Residential | Address is the home address. |
| BIZZ | Business | Address is the business address. |
| MLTO | MailTo | Address is the address to which mail is sent. |
| DLVY | DeliveryTo | Address is the address to which delivery is to take place. |

9.1.8.4.1.3.2 AddressLine <AdrLine>

Presence: [0..5]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

Datatype: "Max70Text" on page 177

9.1.8.4.1.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 177

9.1.8.4.1.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

Definition: Number that identifies the position of a building on a street.

Datatype: "Max16Text" on page 176

9.1.8.4.1.3.5 PostBox <PstBx>

Presence: [0..1]

Definition: Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

Datatype: "Max16Text" on page 176

9.1.8.4.1.3.6 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: "Max16Text" on page 176

9.1.8.4.1.3.7 TownName <TwnNm>

Presence: [0..1]

Definition: Name of a built-up area, with defined boundaries, and a local government.

Datatype: "Max35Text" on page 177

9.1.8.4.1.3.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

Definition: Identifies a subdivision of a country for example, state, region, county.

Datatype: "Max35Text" on page 177

9.1.8.4.1.3.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 166

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.8.4.2 Identification <Id>

Presence: [1..1]

Definition: CONCAT

Identification <Id> contains the following elements (see "[NaturalPersonIdentification1](#)" on page 107 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 107 |
| | IdentificationType <IdTp> | [0..1] | | | 107 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 107 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 108 |

9.1.8.5 PartyIdentification201

Definition: Identification of a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | NameAndAddress <NmAndAdr> | [0..1] | | | 128 |
| | Name <Nm> | [1..1] | Text | | 129 |
| | Address <Adr> | [0..1] | | | 129 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 130 |
| | AddressLine <AdrLine> | [0..5] | Text | | 130 |
| | StreetName <StrtNm> | [0..1] | Text | | 130 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 130 |
| | PostBox <PstBx> | [0..1] | Text | | 130 |
| | PostCode <PstCd> | [0..1] | Text | | 130 |
| | TownName <TwnNm> | [0..1] | Text | | 131 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 131 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 131 |
| | Identification <Id> | [1..1] | ± | | 131 |

9.1.8.5.1 NameAndAddress <NmAndAdr>

Presence: [0..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **PersonName2** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 129 |
| | Address <Adr> | [0..1] | | | 129 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 130 |
| | AddressLine <AdrLine> | [0..5] | Text | | 130 |
| | StreetName <StrtNm> | [0..1] | Text | | 130 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 130 |
| | PostBox <PstBx> | [0..1] | Text | | 130 |
| | PostCode <PstCd> | [0..1] | Text | | 130 |
| | TownName <TwnNm> | [0..1] | Text | | 131 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 131 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 131 |

9.1.8.5.1.1 Name <Nm>

Presence: [1..1]

Definition: First name(s) by which a natural person is known.

Datatype: "Max350Text" on page 176

9.1.8.5.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | CodeSet | | 130 |
| | AddressLine <AdrLine> | [0..5] | Text | | 130 |
| | StreetName <StrtNm> | [0..1] | Text | | 130 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 130 |
| | PostBox <PstBx> | [0..1] | Text | | 130 |
| | PostCode <PstCd> | [0..1] | Text | | 130 |
| | TownName <TwnNm> | [0..1] | Text | | 131 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 131 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 131 |

9.1.8.5.1.2.1 AddressType <AdrTp>*Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 165

| CodeName | Name | Definition |
|----------|-------------|--|
| ADDR | Postal | Address is the complete postal address. |
| PBOX | POBox | Address is a postal office (PO) box. |
| HOME | Residential | Address is the home address. |
| BIZZ | Business | Address is the business address. |
| MLTO | MailTo | Address is the address to which mail is sent. |
| DLVY | DeliveryTo | Address is the address to which delivery is to take place. |

9.1.8.5.1.2.2 AddressLine <AdrLine>*Presence:* [0..5]*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.*Datatype:* "Max70Text" on page 177**9.1.8.5.1.2.3 StreetName <StrtNm>***Presence:* [0..1]*Definition:* Name of a street or thoroughfare.*Datatype:* "Max70Text" on page 177**9.1.8.5.1.2.4 BuildingNumber <BldgNb>***Presence:* [0..1]*Definition:* Number that identifies the position of a building on a street.*Datatype:* "Max16Text" on page 176**9.1.8.5.1.2.5 PostBox <PstBx>***Presence:* [0..1]*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.*Datatype:* "Max16Text" on page 176**9.1.8.5.1.2.6 PostCode <PstCd>***Presence:* [0..1]*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.*Datatype:* "Max16Text" on page 176

9.1.8.5.1.2.7 TownName <TwnNm>*Presence:* [0..1]*Definition:* Name of a built-up area, with defined boundaries, and a local government.*Datatype:* "Max35Text" on page 177**9.1.8.5.1.2.8 CountrySubDivision <CtrySubDvsn>***Presence:* [0..1]*Definition:* Identifies a subdivision of a country for example, state, region, county.*Datatype:* "Max35Text" on page 177**9.1.8.5.1.2.9 Country <Ctry>***Presence:* [1..1]*Definition:* Nation with its own government.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 166**Constraints**

- Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.8.5.2 Identification <Id>*Presence:* [1..1]*Definition:* Identification of the party.

Identification <Id> contains one of the following elements (see "PartyIdentification198Choice" on page 115 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| {Or | NationalRegistrationNumber <NtlRegnNb> | [1..1] | Text | | 116 |
| Or | LEI <LEI> | [1..1] | IdentifierSet | | 116 |
| Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 116 |
| Or | ClientIdentification <ClnId> | [1..1] | Text | | 116 |
| Or} | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 116 |

9.1.8.6 PartyIdentification217*Definition:* Identification of a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|---------|-------------|------|
| | NameAndAddress <NmAndAdr> | [1..1] | | | 132 |
| | NamePrefix <NmPrfx> | [0..1] | CodeSet | | 133 |
| | FirstName <FrstNm> | [1..1] | Text | | 133 |
| | Surname <SrnM> | [1..1] | Text | | 133 |
| | Address <Adr> | [0..1] | | | 134 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 134 |
| | AddressLine <AdrLine> | [0..5] | Text | | 134 |
| | StreetName <StrtNm> | [0..1] | Text | | 134 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 135 |
| | PostBox <PstBx> | [0..1] | Text | | 135 |
| | PostCode <PstCd> | [0..1] | Text | | 135 |
| | TownName <TwnNm> | [0..1] | Text | | 135 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 135 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 135 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 135 |
| | Identification <Id> | [1..1] | ± | | 136 |
| | Nationality <Ntlty> | [0..1] | CodeSet | C2 | 136 |
| | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | ± | | 136 |
| | InvestorType <InvstrTp> | [0..1] | | | 136 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 137 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 137 |
| | Ownership <Ownrsh> | [0..1] | | | 137 |
| | OwnershipType <OwnrshTp> | [0..1] | | | 138 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 138 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 138 |
| | OwnershipPercentage <OwnrshPctg> | [0..1] | Rate | | 139 |
| | UsufructPercentage <UsfrctPctg> | [0..1] | Rate | | 139 |

9.1.8.6.1 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **PersonName3** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | NamePrefix <NmPrfx> | [0..1] | CodeSet | | 133 |
| | FirstName <FrstNm> | [1..1] | Text | | 133 |
| | Surname <Srnrm> | [1..1] | Text | | 133 |
| | Address <Adr> | [0..1] | | | 134 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 134 |
| | AddressLine <AdrLine> | [0..5] | Text | | 134 |
| | StreetName <StrtNm> | [0..1] | Text | | 134 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 135 |
| | PostBox <PstBx> | [0..1] | Text | | 135 |
| | PostCode <PstCd> | [0..1] | Text | | 135 |
| | TownName <TwnNm> | [0..1] | Text | | 135 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 135 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 135 |

9.1.8.6.1.1 NamePrefix <NmPrfx>

Presence: [0..1]

Definition: Prefix, as a title before a person's name.

Datatype: "NamePrefix2Code" on page 169

| CodeName | Name | Definition |
|----------|---------------|---|
| DOCT | Doctor | Title of the person is Doctor or Dr. |
| MADM | Madam | Title of the person is Madam. |
| MISS | Miss | Title of the person is Miss. |
| MIST | Mister | Title of the person is Mister or Mr. |
| MIKS | GenderNeutral | Title of the person is gender neutral (Mx). |

9.1.8.6.1.2 FirstName <FrstNm>

Presence: [1..1]

Definition: First name(s) by which a natural person is known.

Datatype: "Max350Text" on page 176

9.1.8.6.1.3 Surname <Srnrm>

Presence: [1..1]

Definition: Name (s) by which a natural person is known and which is usually used to identify that party.

Datatype: "Max350Text" on page 176

9.1.8.6.1.4 Address <Adr>*Presence:* [0..1]*Definition:* Postal address of the party.**Address <Adr>** contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | CodeSet | | 134 |
| | AddressLine <AdrLine> | [0..5] | Text | | 134 |
| | StreetName <StrtNm> | [0..1] | Text | | 134 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 135 |
| | PostBox <PstBx> | [0..1] | Text | | 135 |
| | PostCode <PstCd> | [0..1] | Text | | 135 |
| | TownName <TwnNm> | [0..1] | Text | | 135 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 135 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 135 |

9.1.8.6.1.4.1 AddressType <AdrTp>*Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 165

| CodeName | Name | Definition |
|----------|-------------|--|
| ADDR | Postal | Address is the complete postal address. |
| PBOX | POBox | Address is a postal office (PO) box. |
| HOME | Residential | Address is the home address. |
| BIZZ | Business | Address is the business address. |
| MLTO | MailTo | Address is the address to which mail is sent. |
| DLVY | DeliveryTo | Address is the address to which delivery is to take place. |

9.1.8.6.1.4.2 AddressLine <AdrLine>*Presence:* [0..5]*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.*Datatype:* "Max70Text" on page 177**9.1.8.6.1.4.3 StreetName <StrtNm>***Presence:* [0..1]*Definition:* Name of a street or thoroughfare.

Datatype: "Max70Text" on page 177

9.1.8.6.1.4.4 BuildingNumber <BldgNb>

Presence: [0..1]

Definition: Number that identifies the position of a building on a street.

Datatype: "Max16Text" on page 176

9.1.8.6.1.4.5 PostBox <PstBx>

Presence: [0..1]

Definition: Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

Datatype: "Max16Text" on page 176

9.1.8.6.1.4.6 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: "Max16Text" on page 176

9.1.8.6.1.4.7 TownName <TwnNm>

Presence: [0..1]

Definition: Name of a built-up area, with defined boundaries, and a local government.

Datatype: "Max35Text" on page 177

9.1.8.6.1.4.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

Definition: Identifies a subdivision of a country for example, state, region, county.

Datatype: "Max35Text" on page 177

9.1.8.6.1.4.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 166

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.8.6.2 EmailAddress <EmailAdr>

Presence: [0..1]

Definition: Address for electronic mail (e-mail).

Datatype: "Max256Text" on page 176

9.1.8.6.3 Identification <Id>

Presence: [1..1]

Definition: Natural person identification details.

Identification <Id> contains the following elements (see "NaturalPersonIdentification1" on page 107 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---------------------------|--------|---------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 107 |
| | IdentificationType <IdTp> | [0..1] | | | 107 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 107 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 108 |

9.1.8.6.4 Nationality <Ntlty>

Presence: [0..1]

Definition: Nationality of the person.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 166

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.8.6.5 DateAndPlaceOfBirth <DtAndPlcOfBirth>

Presence: [0..1]

Definition: Date on which and place at which a person is born.

DateAndPlaceOfBirth <DtAndPlcOfBirth> contains the following elements (see "DateAndPlaceOfBirth2" on page 106 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------------|--------|---------|-------------|------|
| | BirthDate <BirthDt> | [1..1] | Date | | 106 |
| | ProvinceOfBirth <PrvcOfBirth> | [0..1] | Text | | 106 |
| | CityOfBirth <CityOfBirth> | [0..1] | Text | | 106 |
| | CountryOfBirth <CtryOfBirth> | [0..1] | CodeSet | C2 | 106 |

9.1.8.6.6 InvestorType <InvstrTp>

Presence: [0..1]

Definition: Type of investor.

InvestorType <InvstrTp> contains one of the following **InvestorType1Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 137 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 137 |

9.1.8.6.6.1 Code <Cd>

Presence: [1..1]

Definition: Investor type expressed as an ISO 20022 code.

Datatype: "Eligibility1Code" on page 167

| CodeName | Name | Definition |
|----------|----------------------|---|
| ELIG | EligibleCounterparty | Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules. |
| RETL | RetailClient | Retail customers are the least sophisticated level of investor. |
| PROF | ProfessionalClient | Professional customers are, for example, investment firms, credit institutions, insurance companies. |

9.1.8.6.6.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Investor type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "GenericIdentification30" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.8.6.7 Ownership <Ownrsh>

Presence: [0..1]

Definition: Provides information about the ownership on an asset.

Ownership <Ownrsh> contains the following **Ownership1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
| | OwnershipType <OwnrshTp> | [0..1] | | | 138 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 138 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 138 |
| | OwnershipPercentage <OwnrshPctg> | [0..1] | Rate | | 139 |
| | UsufructPercentage <UsfrctPctg> | [0..1] | Rate | | 139 |

9.1.8.6.7.1 OwnershipType <OwnrshTp>

Presence: [0..1]

Definition: Specifies the type of ownership.

OwnershipType <OwnrshTp> contains one of the following **OwnershipType3Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 138 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 138 |

9.1.8.6.7.1.1 Code <Cd>

Presence: [1..1]

Definition: Owner type expressed as an ISO 20022 code.

Datatype: "AccountOwnershipType5Code" on page 165

| CodeName | Name | Definition |
|----------|--------------|---|
| USUF | Usufructuary | The person is ... |
| OWNR | Owner | A person has full ownership on the asset. |
| BOWN | BareOwner | A person has bare ownership on the asset. |

9.1.8.6.7.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Owner type expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "GenericIdentification30" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.8.6.7.2 OwnershipPercentage <OwnrshPctg>*Presence:* [0..1]*Definition:* Percentage of ownership that a person has on an asset.*Datatype:* "PercentageRate" on page 175**9.1.8.6.7.3 UsufructPercentage <UsfrctPctg>***Presence:* [0..1]*Definition:* Percentage of usufruct that a person has on an asset.*Datatype:* "PercentageRate" on page 175**9.1.8.7 PartyIdentification219***Definition:* Identification of a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | NameAndAddress <NmAndAdr> | [1..1] | | | 139 |
| | Name <Nm> | [1..1] | Text | | 140 |
| | Address <Adr> | [0..1] | | | 140 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 141 |
| | AddressLine <AdrLine> | [0..5] | Text | | 141 |
| | StreetName <StrtNm> | [0..1] | Text | | 141 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 141 |
| | PostBox <PstBx> | [0..1] | Text | | 141 |
| | PostCode <PstCd> | [0..1] | Text | | 141 |
| | TownName <TwnNm> | [0..1] | Text | | 142 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 142 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 142 |
| | Identification <Id> | [1..1] | ± | | 142 |
| | ContactPerson <CtctPrsn> | [0..1] | ± | | 142 |

9.1.8.7.1 NameAndAddress <NmAndAdr>*Presence:* [1..1]*Definition:* Name and address of the party.

NameAndAddress <NmAndAdr> contains the following **PersonName2** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 140 |
| | Address <Adr> | [0..1] | | | 140 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 141 |
| | AddressLine <AdrLine> | [0..5] | Text | | 141 |
| | StreetName <StrtNm> | [0..1] | Text | | 141 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 141 |
| | PostBox <PstBx> | [0..1] | Text | | 141 |
| | PostCode <PstCd> | [0..1] | Text | | 141 |
| | TownName <TwnNm> | [0..1] | Text | | 142 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 142 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 142 |

9.1.8.7.1.1 Name <Nm>

Presence: [1..1]

Definition: First name(s) by which a natural person is known.

Datatype: "Max350Text" on page 176

9.1.8.7.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | CodeSet | | 141 |
| | AddressLine <AdrLine> | [0..5] | Text | | 141 |
| | StreetName <StrtNm> | [0..1] | Text | | 141 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 141 |
| | PostBox <PstBx> | [0..1] | Text | | 141 |
| | PostCode <PstCd> | [0..1] | Text | | 141 |
| | TownName <TwnNm> | [0..1] | Text | | 142 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 142 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 142 |

9.1.8.7.1.2.1 AddressType <AdrTp>*Presence:* [0..1]*Definition:* Identifies the nature of the postal address.*Datatype:* "AddressType2Code" on page 165

| CodeName | Name | Definition |
|----------|-------------|--|
| ADDR | Postal | Address is the complete postal address. |
| PBOX | POBox | Address is a postal office (PO) box. |
| HOME | Residential | Address is the home address. |
| BIZZ | Business | Address is the business address. |
| MLTO | MailTo | Address is the address to which mail is sent. |
| DLVY | DeliveryTo | Address is the address to which delivery is to take place. |

9.1.8.7.1.2.2 AddressLine <AdrLine>*Presence:* [0..5]*Definition:* Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.*Datatype:* "Max70Text" on page 177**9.1.8.7.1.2.3 StreetName <StrtNm>***Presence:* [0..1]*Definition:* Name of a street or thoroughfare.*Datatype:* "Max70Text" on page 177**9.1.8.7.1.2.4 BuildingNumber <BldgNb>***Presence:* [0..1]*Definition:* Number that identifies the position of a building on a street.*Datatype:* "Max16Text" on page 176**9.1.8.7.1.2.5 PostBox <PstBx>***Presence:* [0..1]*Definition:* Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.*Datatype:* "Max16Text" on page 176**9.1.8.7.1.2.6 PostCode <PstCd>***Presence:* [0..1]*Definition:* Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.*Datatype:* "Max16Text" on page 176

9.1.8.7.1.2.7 TownName <TwnNm>*Presence:* [0..1]*Definition:* Name of a built-up area, with defined boundaries, and a local government.*Datatype:* "Max35Text" on page 177**9.1.8.7.1.2.8 CountrySubDivision <CtrySubDvsn>***Presence:* [0..1]*Definition:* Identifies a subdivision of a country for example, state, region, county.*Datatype:* "Max35Text" on page 177**9.1.8.7.1.2.9 Country <Ctry>***Presence:* [1..1]*Definition:* Nation with its own government.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 166**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.8.7.2 Identification <Id>*Presence:* [1..1]*Definition:* Identification of the party.

Identification <Id> contains one of the following elements (see "PartyIdentification195Choice" on page 109 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 109 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 109 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 110 |

9.1.8.7.3 ContactPerson <CtctPrsn>*Presence:* [0..1]*Definition:* Identifies the contact person by its name, given name and address.

ContactPerson <CtctPrsn> contains the following elements (see "ContactIdentification2" on page 150 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|---------|-------------|------|
| | NamePrefix <NmPrfx> | [0..1] | CodeSet | | 151 |
| | GivenName <GvnNm> | [0..1] | Text | | 151 |
| | Name <Nm> | [1..1] | Text | | 151 |
| | PhoneNumber <PhneNb> | [0..1] | Text | | 151 |
| | MobileNumber <MobNb> | [0..1] | Text | | 151 |
| | FaxNumber <FaxNb> | [0..1] | Text | | 152 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 152 |

9.1.8.8 PartyIdentification214

Definition: Identification of a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|--|--------|---------------|-------------|------|
| | Identification <Id> | [1..1] | | | 144 |
| {Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 144 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 144 |
| | RecipientName <RcptNm> | [1..1] | Text | | 144 |
| | ResponseRecipientAddress <RspnRcptAdr> | [1..1] | | C8 | 144 |
| | AnyBIC <AnyBIC> | [0..1] | IdentifierSet | C2 | 145 |
| | PostalAddress <PstlAdr> | [0..1] | | | 146 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 146 |
| | AddressLine <AdrLine> | [0..5] | Text | | 146 |
| | StreetName <StrtNm> | [0..1] | Text | | 147 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 147 |
| | PostBox <PstBx> | [0..1] | Text | | 147 |
| | PostCode <PstCd> | [0..1] | Text | | 147 |
| | TownName <TwnNm> | [0..1] | Text | | 147 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 147 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 147 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 148 |
| | URLAddress <URLAdr> | [0..1] | Text | | 148 |

9.1.8.8.1 Identification <Id>*Presence:* [1..1]*Definition:* Identification of the party to which the disclosure response must be sent.**Identification <Id>** contains one of the following **PartyIdentification203Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 144 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 144 |

9.1.8.8.1.1 ProprietaryIdentification <PrtryId>*Presence:* [1..1]*Definition:* Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.**ProprietaryIdentification <PrtryId>** contains the following elements (see "[GenericIdentification36](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

9.1.8.8.1.2 LEI <LEI>*Presence:* [1..1]*Definition:* Legal entity identifier of the party.*Datatype:* "[LEIIdentifier](#)" on page 174**9.1.8.8.2 RecipientName <RcptNm>***Presence:* [1..1]*Definition:* Name of the party to which the disclosure response must be sent.*Datatype:* "[Max350Text](#)" on page 176**9.1.8.8.3 ResponseRecipientAddress <RspnRcptAdr>***Presence:* [1..1]*Definition:* Address of the party to which the disclosure response must be sent.*Impacted by:* [C8 "PartyAddressRule"](#)

ResponseRecipientAddress <RspnRcptAdr> contains the following **PartyAddress1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------------|-------------|------|
| | AnyBIC <AnyBIC> | [0..1] | IdentifierSet | C2 | 145 |
| | PostalAddress <PstlAdr> | [0..1] | | | 146 |
| | AddressType <AdrTp> | [0..1] | CodeSet | | 146 |
| | AddressLine <AdrLine> | [0..5] | Text | | 146 |
| | StreetName <StrtNm> | [0..1] | Text | | 147 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 147 |
| | PostBox <PstBx> | [0..1] | Text | | 147 |
| | PostCode <PstCd> | [0..1] | Text | | 147 |
| | TownName <TwnNm> | [0..1] | Text | | 147 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 147 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 147 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 148 |
| | URLAddress <URLAdr> | [0..1] | Text | | 148 |

Constraints

- **PartyAddressRule**

At least one message element in the list (AnyBic, PostalAddress, EmailAddress, URLAddress) must be present. More than one message element in the list may be present.

Following Must be True

/AnyBIC Must be present

Or /PostalAddress Must be present

Or /EmailAddress Must be present

Or /URLAddress Must be present

9.1.8.8.3.1 AnyBIC <AnyBIC>

Presence: [0..1]

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Impacted by: C2 "AnyBIC"

Datatype: "AnyBICDec2014Identifier" on page 173

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

9.1.8.8.3.2 PostalAddress <PstlAdr>

Presence: [0..1]

Definition: Postal address of the party.

PostalAddress <PstlAdr> contains the following **PostalAddress26** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | CodeSet | | 146 |
| | AddressLine <AdrLine> | [0..5] | Text | | 146 |
| | StreetName <StrtNm> | [0..1] | Text | | 147 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 147 |
| | PostBox <PstBx> | [0..1] | Text | | 147 |
| | PostCode <PstCd> | [0..1] | Text | | 147 |
| | TownName <TwnNm> | [0..1] | Text | | 147 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 147 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 147 |

9.1.8.8.3.2.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 165

| CodeName | Name | Definition |
|----------|-------------|--|
| ADDR | Postal | Address is the complete postal address. |
| PBOX | POBox | Address is a postal office (PO) box. |
| HOME | Residential | Address is the home address. |
| BIZZ | Business | Address is the business address. |
| MLTO | MailTo | Address is the address to which mail is sent. |
| DLVY | DeliveryTo | Address is the address to which delivery is to take place. |

9.1.8.8.3.2.2 AddressLine <AdrLine>

Presence: [0..5]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

Datatype: "Max70Text" on page 177

9.1.8.8.3.2.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 177

9.1.8.8.3.2.4 BuildingNumber <BldgNb>

Presence: [0..1]

Definition: Number that identifies the position of a building on a street.

Datatype: "Max16Text" on page 176

9.1.8.8.3.2.5 PostBox <PstBx>

Presence: [0..1]

Definition: Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

Datatype: "Max16Text" on page 176

9.1.8.8.3.2.6 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: "Max16Text" on page 176

9.1.8.8.3.2.7 TownName <TwnNm>

Presence: [0..1]

Definition: Name of a built-up area, with defined boundaries, and a local government.

Datatype: "Max35Text" on page 177

9.1.8.8.3.2.8 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

Definition: Identifies a subdivision of a country for example, state, region, county.

Datatype: "Max35Text" on page 177

9.1.8.8.3.2.9 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 166

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.8.8.3.3 EmailAddress <EmailAdr>

Presence: [0..1]

Definition: Address for electronic mail (e-mail).

Datatype: "Max256Text" on page 176

9.1.8.8.3.4 URLAddress <URLAdr>

Presence: [0..1]

Definition: Address for the Universal Resource Locator (URL), for example, used over the www (HTTP) service.

Datatype: "Max2048Text" on page 176

9.1.8.9 Party38Choice

Definition: Nature or use of the account.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|------------------------------------|--------|------|-------------|------|
| {Or | OrganisationIdentification <OrgId> | [1..1] | ± | | 148 |
| Or} | PrivateIdentification <PrvtId> | [1..1] | ± | | 149 |

9.1.8.9.1 OrganisationIdentification <OrgId>

Presence: [1..1]

Definition: Unique and unambiguous way to identify an organisation.

OrganisationIdentification <OrgId> contains the following elements (see "OrganisationIdentification29" on page 111 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------------|-------------|------|
| | AnyBIC <AnyBIC> | [0..1] | IdentifierSet | C2 | 111 |
| | LEI <LEI> | [0..1] | IdentifierSet | | 112 |
| | Other <Othr> | [0..*] | | | 112 |
| | Identification <Id> | [1..1] | Text | | 112 |
| | SchemeName <SchmeNm> | [0..1] | | | 112 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 112 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 113 |
| | Issuer <Issr> | [0..1] | Text | | 113 |

9.1.8.9.2 PrivateIdentification <PrvtId>*Presence:* [1..1]*Definition:* Unique and unambiguous identification of a person, for example a passport.**PrivateIdentification <PrvtId>** contains the following elements (see "[PersonIdentification13](#)" on page 155 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|---------|-------------|------|
| | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | | | 155 |
| | BirthDate <BirthDt> | [1..1] | Date | | 155 |
| | ProvinceOfBirth <PrvcOfBirth> | [0..1] | Text | | 156 |
| | CityOfBirth <CityOfBirth> | [1..1] | Text | | 156 |
| | CountryOfBirth <CtryOfBirth> | [1..1] | CodeSet | C2 | 156 |
| | Other <Othr> | [0..*] | | | 156 |
| | Identification <Id> | [1..1] | Text | | 156 |
| | SchemeName <SchmeNm> | [0..1] | | | 156 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 157 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 157 |
| | Issuer <Issr> | [0..1] | Text | | 157 |

9.1.8.10 PartyIdentification129Choice*Definition:* Choice between different formats for the identification of a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------------------|--------|---------------|-------------|------|
| {Or | AnyBIC <AnyBIC> | [1..1] | IdentifierSet | C2 | 149 |
| Or | ProprietaryIdentification <PrtryId> | [1..1] | ± | | 150 |
| Or | NameAndAddress <NmAndAdr> | [1..1] | ± | | 150 |
| Or} | LEI <LEI> | [1..1] | IdentifierSet | | 150 |

9.1.8.10.1 AnyBIC <AnyBIC>*Presence:* [1..1]*Definition:* Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362 "Banking - Banking telecommunication messages - Business identifier code (BIC)".*Impacted by:* C2 "AnyBIC"*Datatype:* "[AnyBICDec2014Identifier](#)" on page 173

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

9.1.8.10.2 ProprietaryIdentification <PrtryId>

Presence: [1..1]

Definition: Unique and unambiguous identifier, as assigned to a financial institution using a proprietary identification scheme.

ProprietaryIdentification <PrtryId> contains the following elements (see "[GenericIdentification36](#)" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 105 |
| | Issuer <Issr> | [1..1] | Text | | 105 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 105 |

9.1.8.10.3 NameAndAddress <NmAndAdr>

Presence: [1..1]

Definition: Name and address of a party.

NameAndAddress <NmAndAdr> contains the following elements (see "[NameAndAddress5](#)" on page 157 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 157 |
| | Address <Adr> | [0..1] | ± | | 157 |

9.1.8.10.4 LEI <LEI>

Presence: [1..1]

Definition: Legal entity identification of the party.

Datatype: "[LEIIdentifier](#)" on page 174

9.1.9 Person Identification**9.1.9.1 ContactIdentification2**

Definition: Information needed to contact a physical person.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|---------|-------------|------|
| | NamePrefix <NmPrfx> | [0..1] | CodeSet | | 151 |
| | GivenName <GvnNm> | [0..1] | Text | | 151 |
| | Name <Nm> | [1..1] | Text | | 151 |
| | PhoneNumber <PhneNb> | [0..1] | Text | | 151 |
| | MobileNumber <MobNb> | [0..1] | Text | | 151 |
| | FaxNumber <FaxNb> | [0..1] | Text | | 152 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 152 |

9.1.9.1.1 NamePrefix <NmPrfx>

Presence: [0..1]

Definition: Specifies the terms used to formally address a person.

Datatype: "NamePrefix1Code" on page 169

| CodeName | Name | Definition |
|----------|--------|--------------------------------------|
| DOCT | Doctor | Title of the person is Doctor or Dr. |
| MIST | Mister | Title of the person is Mister or Mr. |
| MISS | Miss | Title of the person is Miss. |
| MADM | Madam | Title of the person is Madam. |

9.1.9.1.2 GivenName <GvnNm>

Presence: [0..1]

Definition: First name of a person.

Datatype: "Max35Text" on page 177

9.1.9.1.3 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "Max35Text" on page 177

9.1.9.1.4 PhoneNumber <PhneNb>

Presence: [0..1]

Definition: Collection of information that identifies a phone number, as defined by telecom services.

Datatype: "PhoneNumber" on page 178

9.1.9.1.5 MobileNumber <MobNb>

Presence: [0..1]

Definition: Collection of information that identifies a mobile phone number, as defined by telecom services.

Datatype: "PhoneNumber" on page 178

9.1.9.1.6 FaxNumber <FaxNb>

Presence: [0..1]

Definition: Collection of information that identifies a FAX number, as defined by telecom services.

Datatype: "PhoneNumber" on page 178

9.1.9.1.7 EmailAddress <EmailAdr>

Presence: [0..1]

Definition: Address for electronic mail (e-mail).

Datatype: "Max256Text" on page 176

9.1.9.2 Contact4

Definition: Specifies the details of the contact person.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-----------------------------|--------|---------|-------------|------|
| | NamePrefix <NmPrfx> | [0..1] | CodeSet | | 152 |
| | Name <Nm> | [0..1] | Text | | 153 |
| | PhoneNumber <PhneNb> | [0..1] | Text | | 153 |
| | MobileNumber <MobNb> | [0..1] | Text | | 153 |
| | FaxNumber <FaxNb> | [0..1] | Text | | 153 |
| | EmailAddress <EmailAdr> | [0..1] | Text | | 153 |
| | EmailPurpose <EmailPurp> | [0..1] | Text | | 153 |
| | JobTitle <JobTitl> | [0..1] | Text | | 153 |
| | Responsibility <Rspnsblty> | [0..1] | Text | | 154 |
| | Department <Dept> | [0..1] | Text | | 154 |
| | Other <Othr> | [0..*] | | | 154 |
| | ChannelType <ChanlTp> | [1..1] | Text | | 154 |
| | Identification <Id> | [0..1] | Text | | 154 |
| | PreferredMethod <PrefrdMtd> | [0..1] | CodeSet | | 154 |

9.1.9.2.1 NamePrefix <NmPrfx>

Presence: [0..1]

Definition: Specifies the terms used to formally address a person.

Datatype: "NamePrefix2Code" on page 169

| CodeName | Name | Definition |
|----------|--------|--------------------------------------|
| DOCT | Doctor | Title of the person is Doctor or Dr. |

| CodeName | Name | Definition |
|----------|---------------|---|
| MADM | Madam | Title of the person is Madam. |
| MISS | Miss | Title of the person is Miss. |
| MIST | Mister | Title of the person is Mister or Mr. |
| MIKS | GenderNeutral | Title of the person is gender neutral (Mx). |

9.1.9.2.2 Name <Nm>

Presence: [0..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "Max140Text" on page 176

9.1.9.2.3 PhoneNumber <PhneNb>

Presence: [0..1]

Definition: Collection of information that identifies a phone number, as defined by telecom services.

Datatype: "PhoneNumber" on page 178

9.1.9.2.4 MobileNumber <MobNb>

Presence: [0..1]

Definition: Collection of information that identifies a mobile phone number, as defined by telecom services.

Datatype: "PhoneNumber" on page 178

9.1.9.2.5 FaxNumber <FaxNb>

Presence: [0..1]

Definition: Collection of information that identifies a FAX number, as defined by telecom services.

Datatype: "PhoneNumber" on page 178

9.1.9.2.6 EmailAddress <EmailAdr>

Presence: [0..1]

Definition: Address for electronic mail (e-mail).

Datatype: "Max2048Text" on page 176

9.1.9.2.7 EmailPurpose <EmailPurp>

Presence: [0..1]

Definition: Purpose for which an email address may be used.

Datatype: "Max35Text" on page 177

9.1.9.2.8 JobTitle <JobTitl>

Presence: [0..1]

Definition: Title of the function.

Datatype: "Max35Text" on page 177

9.1.9.2.9 Responsibility <Rspnsblty>

Presence: [0..1]

Definition: Role of a person in an organisation.

Datatype: "Max35Text" on page 177

9.1.9.2.10 Department <Dept>

Presence: [0..1]

Definition: Identification of a division of a large organisation or building.

Datatype: "Max70Text" on page 177

9.1.9.2.11 Other <Othr>

Presence: [0..*]

Definition: Contact details in another form.

Other <Othr> contains the following **OtherContact1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | ChannelType <ChanlTp> | [1..1] | Text | | 154 |
| | Identification <Id> | [0..1] | Text | | 154 |

9.1.9.2.11.1 ChannelType <ChanlTp>

Presence: [1..1]

Definition: Method used to contact the financial institution's contact for the specific tax region.

Datatype: "Max4Text" on page 177

9.1.9.2.11.2 Identification <Id>

Presence: [0..1]

Definition: Communication value such as phone number or email address.

Datatype: "Max128Text" on page 175

9.1.9.2.12 PreferredMethod <PrefrdMtd>

Presence: [0..1]

Definition: Preferred method used to reach the contact.

Datatype: "PreferredContactMethod1Code" on page 170

| CodeName | Name | Definition |
|----------|--------|---|
| LETT | Letter | Preferred method used to reach the contact is per letter. |
| MAIL | Email | Preferred method used to reach the contact is per email. |
| PHON | Phone | Preferred method used to reach the contact is per phone. |

| CodeName | Name | Definition |
|----------|-------------------|---|
| FAXX | Fax | Preferred method used to reach the contact is per fax. |
| CELL | MobileOrCellPhone | Preferred method used to reach the contact is per mobile or cell phone. |

9.1.9.3 PersonIdentification13

Definition: Unique and unambiguous way to identify a person.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|---------------------------------------|--------|---------|-------------|------|
| | DateAndPlaceOfBirth <DtAndPlcOfBirth> | [0..1] | | | 155 |
| | BirthDate <BirthDt> | [1..1] | Date | | 155 |
| | ProvinceOfBirth <PrvcOfBirth> | [0..1] | Text | | 156 |
| | CityOfBirth <CityOfBirth> | [1..1] | Text | | 156 |
| | CountryOfBirth <CtryOfBirth> | [1..1] | CodeSet | C2 | 156 |
| | Other <Othr> | [0..*] | | | 156 |
| | Identification <Id> | [1..1] | Text | | 156 |
| | SchemeName <SchmeNm> | [0..1] | | | 156 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 157 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 157 |
| | Issuer </Issr> | [0..1] | Text | | 157 |

9.1.9.3.1 DateAndPlaceOfBirth <DtAndPlcOfBirth>

Presence: [0..1]

Definition: Date and place of birth of a person.

DateAndPlaceOfBirth <DtAndPlcOfBirth> contains the following **DateAndPlaceOfBirth1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------------|--------|---------|-------------|------|
| | BirthDate <BirthDt> | [1..1] | Date | | 155 |
| | ProvinceOfBirth <PrvcOfBirth> | [0..1] | Text | | 156 |
| | CityOfBirth <CityOfBirth> | [1..1] | Text | | 156 |
| | CountryOfBirth <CtryOfBirth> | [1..1] | CodeSet | C2 | 156 |

9.1.9.3.1.1 BirthDate <BirthDt>

Presence: [1..1]

Definition: Date on which a person is born.

Datatype: "ISODate" on page 172

9.1.9.3.1.2 ProvinceOfBirth <PrvcOfBirth>*Presence:* [0..1]*Definition:* Province where a person was born.*Datatype:* "Max35Text" on page 177**9.1.9.3.1.3 CityOfBirth <CityOfBirth>***Presence:* [1..1]*Definition:* City where a person was born.*Datatype:* "Max35Text" on page 177**9.1.9.3.1.4 CountryOfBirth <CtryOfBirth>***Presence:* [1..1]*Definition:* Country where a person was born.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 166**Constraints**

- Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.9.3.2 Other <Othr>*Presence:* [0..*]*Definition:* Unique identification of a person, as assigned by an institution, using an identification scheme.**Other <Othr>** contains the following **GenericPersonIdentification1** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 156 |
| | SchemeName <SchmeNm> | [0..1] | | | 156 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 157 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 157 |
| | Issuer <Issr> | [0..1] | Text | | 157 |

9.1.9.3.2.1 Identification <Id>*Presence:* [1..1]*Definition:* Unique and unambiguous identification of a person.*Datatype:* "Max35Text" on page 177**9.1.9.3.2.2 SchemeName <SchmeNm>***Presence:* [0..1]

Definition: Name of the identification scheme.

SchemeName <SchmeNm> contains one of the following **PersonIdentificationSchemeName1Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 157 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 157 |

9.1.9.3.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Name of the identification scheme, in a coded form as published in an external list.

Datatype: "ExternalPersonIdentification1Code" on page 168

9.1.9.3.2.2.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Name of the identification scheme, in a free text form.

Datatype: "Max35Text" on page 177

9.1.9.3.2.3 Issuer <Issr>

Presence: [0..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 177

9.1.10 Postal Address

9.1.10.1 NameAndAddress5

Definition: Information that locates and identifies a party.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Name <Nm> | [1..1] | Text | | 157 |
| | Address <Adr> | [0..1] | ± | | 157 |

9.1.10.1.1 Name <Nm>

Presence: [1..1]

Definition: Name by which a party is known and which is usually used to identify that party.

Datatype: "Max350Text" on page 176

9.1.10.1.2 Address <Adr>

Presence: [0..1]

Definition: Postal address of the party.

Address <Adr> contains the following elements (see "PostalAddress1" on page 161 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | CodeSet | | 162 |
| | AddressLine <AdrLine> | [0..5] | Text | | 162 |
| | StreetName <StrtNm> | [0..1] | Text | | 162 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 162 |
| | PostCode <PstCd> | [0..1] | Text | | 163 |
| | TownName <TwnNm> | [0..1] | Text | | 163 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 163 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 163 |

9.1.10.2 PostalAddress24

Definition: Information that locates and identifies a specific address, as defined by postal services.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | | | 159 |
| {Or | Code <Cd> | [1..1] | CodeSet | | 159 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 159 |
| | Department <Dept> | [0..1] | Text | | 159 |
| | SubDepartment <SubDept> | [0..1] | Text | | 160 |
| | StreetName <StrtNm> | [0..1] | Text | | 160 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 160 |
| | BuildingName <BldgNm> | [0..1] | Text | | 160 |
| | Floor <Flr> | [0..1] | Text | | 160 |
| | PostBox <PstBx> | [0..1] | Text | | 160 |
| | Room <Room> | [0..1] | Text | | 160 |
| | PostCode <PstCd> | [0..1] | Text | | 160 |
| | TownName <TwnNm> | [0..1] | Text | | 161 |
| | TownLocationName <TwnLctnNm> | [0..1] | Text | | 161 |
| | DistrictName <DstrctNm> | [0..1] | Text | | 161 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 161 |
| | Country <Ctry> | [0..1] | CodeSet | C2 | 161 |
| | AddressLine <AdrLine> | [0..7] | Text | | 161 |

9.1.10.2.1 AddressType <AdrTp>*Presence:* [0..1]*Definition:* Identifies the nature of the postal address.**AddressType <AdrTp>** contains one of the following **AddressType3Choice** elements

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 159 |
| Or} | Proprietary <Prtry> | [1..1] | ± | | 159 |

9.1.10.2.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Type of address expressed as a code.*Datatype:* "AddressType2Code" on page 165

| CodeName | Name | Definition |
|----------|-------------|--|
| ADDR | Postal | Address is the complete postal address. |
| PBOX | POBox | Address is a postal office (PO) box. |
| HOME | Residential | Address is the home address. |
| BIZZ | Business | Address is the business address. |
| MLTO | MailTo | Address is the address to which mail is sent. |
| DLVY | DeliveryTo | Address is the address to which delivery is to take place. |

9.1.10.2.1.2 Proprietary <Prtry>*Presence:* [1..1]*Definition:* Type of address expressed as a proprietary code.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification30" on page 104 for details)

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|-------------------------|--------|------|-------------|------|
| | Identification <Id> | [1..1] | Text | | 104 |
| | Issuer <Issr> | [1..1] | Text | | 104 |
| | SchemeName <SchmeNm> | [0..1] | Text | | 104 |

9.1.10.2.2 Department <Dept>*Presence:* [0..1]*Definition:* Identification of a division of a large organisation or building.*Datatype:* "Max70Text" on page 177

9.1.10.2.3 SubDepartment <SubDept>

Presence: [0..1]

Definition: Identification of a sub-division of a large organisation or building.

Datatype: "Max70Text" on page 177

9.1.10.2.4 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 177

9.1.10.2.5 BuildingNumber <BldgNb>

Presence: [0..1]

Definition: Number that identifies the position of a building on a street.

Datatype: "Max16Text" on page 176

9.1.10.2.6 BuildingName <BldgNm>

Presence: [0..1]

Definition: Name of the building or house.

Datatype: "Max35Text" on page 177

9.1.10.2.7 Floor <Flr>

Presence: [0..1]

Definition: Floor or storey within a building.

Datatype: "Max70Text" on page 177

9.1.10.2.8 PostBox <PstBx>

Presence: [0..1]

Definition: Numbered box in a post office, assigned to a person or organisation, where letters are kept until called for.

Datatype: "Max16Text" on page 176

9.1.10.2.9 Room <Room>

Presence: [0..1]

Definition: Building room number.

Datatype: "Max70Text" on page 177

9.1.10.2.10 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: "Max16Text" on page 176

9.1.10.2.11 TownName <TwnNm>*Presence:* [0..1]*Definition:* Name of a built-up area, with defined boundaries, and a local government.*Datatype:* "Max35Text" on page 177**9.1.10.2.12 TownLocationName <TwnLctnNm>***Presence:* [0..1]*Definition:* Specific location name within the town.*Datatype:* "Max35Text" on page 177**9.1.10.2.13 DistrictName <DstrctNm>***Presence:* [0..1]*Definition:* Identifies a subdivision within a country sub-division.*Datatype:* "Max35Text" on page 177**9.1.10.2.14 CountrySubDivision <CtrySubDvsn>***Presence:* [0..1]*Definition:* Identifies a subdivision of a country such as state, region, county.*Datatype:* "Max35Text" on page 177**9.1.10.2.15 Country <Ctry>***Presence:* [0..1]*Definition:* Nation with its own government.*Impacted by:* C2 "Country"*Datatype:* "CountryCode" on page 166**Constraints**

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.10.2.16 AddressLine <AdrLine>*Presence:* [0..7]*Definition:* Information that locates and identifies a specific address, as defined by postal services, presented in free format text.*Datatype:* "Max70Text" on page 177**9.1.10.3 PostalAddress1***Definition:* Information that locates and identifies a specific address, as defined by postal services.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|----|----------------------------------|--------|---------|-------------|------|
| | AddressType <AdrTp> | [0..1] | CodeSet | | 162 |
| | AddressLine <AdrLine> | [0..5] | Text | | 162 |
| | StreetName <StrtNm> | [0..1] | Text | | 162 |
| | BuildingNumber <BldgNb> | [0..1] | Text | | 162 |
| | PostCode <PstCd> | [0..1] | Text | | 163 |
| | TownName <TwnNm> | [0..1] | Text | | 163 |
| | CountrySubDivision <CtrySubDvsn> | [0..1] | Text | | 163 |
| | Country <Ctry> | [1..1] | CodeSet | C2 | 163 |

9.1.10.3.1 AddressType <AdrTp>

Presence: [0..1]

Definition: Identifies the nature of the postal address.

Datatype: "AddressType2Code" on page 165

| CodeName | Name | Definition |
|----------|-------------|--|
| ADDR | Postal | Address is the complete postal address. |
| PBOX | POBox | Address is a postal office (PO) box. |
| HOME | Residential | Address is the home address. |
| BIZZ | Business | Address is the business address. |
| MLTO | MailTo | Address is the address to which mail is sent. |
| DLVY | DeliveryTo | Address is the address to which delivery is to take place. |

9.1.10.3.2 AddressLine <AdrLine>

Presence: [0..5]

Definition: Information that locates and identifies a specific address, as defined by postal services, that is presented in free format text.

Datatype: "Max70Text" on page 177

9.1.10.3.3 StreetName <StrtNm>

Presence: [0..1]

Definition: Name of a street or thoroughfare.

Datatype: "Max70Text" on page 177

9.1.10.3.4 BuildingNumber <BldgNb>

Presence: [0..1]

Definition: Number that identifies the position of a building on a street.

Datatype: "Max16Text" on page 176

9.1.10.3.5 PostCode <PstCd>

Presence: [0..1]

Definition: Identifier consisting of a group of letters and/or numbers that is added to a postal address to assist the sorting of mail.

Datatype: "Max16Text" on page 176

9.1.10.3.6 TownName <TwnNm>

Presence: [0..1]

Definition: Name of a built-up area, with defined boundaries, and a local government.

Datatype: "Max35Text" on page 177

9.1.10.3.7 CountrySubDivision <CtrySubDvsn>

Presence: [0..1]

Definition: Identifies a subdivision of a country for example, state, region, county.

Datatype: "Max35Text" on page 177

9.1.10.3.8 Country <Ctry>

Presence: [1..1]

Definition: Nation with its own government.

Impacted by: C2 "Country"

Datatype: "CountryCode" on page 166

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.1.11 Securities Quantity

9.1.11.1 FinancialInstrumentQuantity18Choice

Definition: Choice between formats for the quantity of security.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|----------|-------------|------|
| {Or | Unit <Unit> | [1..1] | Quantity | | 163 |
| Or} | FaceAmount <FaceAmt> | [1..1] | Amount | | 164 |

9.1.11.1.1 Unit <Unit>

Presence: [1..1]

Definition: Quantity expressed as a number, for example, a number of shares.

Datatype: "DecimalNumber" on page 174

9.1.11.1.2 FaceAmount <FaceAmt>

Presence: [1..1]

Definition: Quantity expressed as an amount representing the face amount, that is, the principal, of a debt instrument.

Datatype: "ImpliedCurrencyAndAmount" on page 164

9.1.12 System Identification

9.1.12.1 ClearingSystemIdentification2Choice

Definition: Choice of a clearing system identifier.

| Or | MessageElement<XML Tag> | Mult. | Type | Constr. No. | Page |
|-----|-------------------------|--------|---------|-------------|------|
| {Or | Code <Cd> | [1..1] | CodeSet | | 164 |
| Or} | Proprietary <Prtry> | [1..1] | Text | | 164 |

9.1.12.1.1 Code <Cd>

Presence: [1..1]

Definition: Identification of a clearing system, in a coded form as published in an external list.

Datatype: "ExternalClearingSystemIdentification1Code" on page 167

9.1.12.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Identification code for a clearing system, that has not yet been identified in the list of clearing systems.

Datatype: "Max35Text" on page 177

9.2 Message Datatypes

9.2.1 Amount

9.2.1.1 ImpliedCurrencyAndAmount

Definition: Number of monetary units specified in a currency where the unit of currency is implied by the context and compliant with ISO 4217. The decimal separator is a dot.

Note: a zero amount is considered a positive amount.

Type: Amount

Format

| | |
|--------------|----|
| minInclusive | 0 |
| totalDigits | 18 |

fractionDigits

5

9.2.2 CodeSet

9.2.2.1 AccountOwnershipType5Code

Definition: Specifies the type of account ownership.

Type: CodeSet

| CodeName | Name | Definition |
|----------|--------------|---|
| USUF | Usufructuary | The person is ... |
| OWNR | Owner | A person has full ownership on the asset. |
| BOWN | BareOwner | A person has bare ownership on the asset. |

9.2.2.2 AddressType2Code

Definition: Specifies the type of address.

Type: CodeSet

| CodeName | Name | Definition |
|----------|-------------|--|
| ADDR | Postal | Address is the complete postal address. |
| PBOX | POBox | Address is a postal office (PO) box. |
| HOME | Residential | Address is the home address. |
| BIZZ | Business | Address is the business address. |
| MLTO | MailTo | Address is the address to which mail is sent. |
| DLVY | DeliveryTo | Address is the address to which delivery is to take place. |

9.2.2.3 BusinessMessagePriorityCode

Definition: Specifies the priority levels for the BusinessMessage.

The different priorities are typically user / service / implementation dependent. The semantics of the different values for a Message (Set) need to be defined by the relevant user community (SEG.).

Type: CodeSet

Constraints

- **ValidationByTable**

9.2.2.4 CopyDuplicate1Code

Definition: Specifies if this document is a copy, a duplicate, or a duplicate of a copy.

Type: CodeSet

| CodeName | Name | Definition |
|----------|---------------|--|
| CODU | CopyDuplicate | Message is being sent as a copy to a party other than the account owner, for information purposes and the message is a duplicate of a message previously sent. |
| COPY | Copy | Message is being sent as a copy to a party other than the account owner, for information purposes. |
| DUPL | Duplicate | Message is for information/confirmation purposes. It is a duplicate of a message previously sent. |

9.2.2.5 CountryCode

Definition: Code to identify a country, a dependency, or another area of particular geopolitical interest, on the basis of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

Type: CodeSet

Format

pattern [A-Z]{2,2}

Constraints

- **Country**

The code is checked against the list of country names obtained from the United Nations (ISO 3166, Alpha-2 code).

9.2.2.6 DateCalculationMethod1Code

Definition: Indicates the calculation method to be used to determine on which dates the shares have been acquired.

Type: CodeSet

| CodeName | Name | Definition |
|----------|------|----------------------|
| FIFO | Fifo | First in, first out. |
| LIFO | Lifo | Last in, first out. |

9.2.2.7 DateType1Code

Definition: Specifies when date is unknown.

Type: CodeSet

| CodeName | Name | Definition |
|----------|---------|--|
| UKWN | Unknown | Date is unknown by the sender or has not been established. |

9.2.2.8 DisclosureRequestCancellationReason1Code

Definition: Specifies the reason for the cancellation of the disclosure request.

Type: CodeSet

| CodeName | Name | Definition |
|----------|------------|---|
| PROC | Processing | The cancellation of the disclosure request is due to a processing error. |
| WITH | Withdrawal | The cancellation of the disclosure request is due to the withdrawal of the request by the issuer. |

9.2.2.9 DisclosureRequestType1Code

Definition: Type of disclosure request.

Type: CodeSet

| CodeName | Name | Definition |
|----------|-------------|---|
| NEWM | New | New disclosure request. |
| REPL | Replacement | Disclosure request replacing a previously sent request. |

9.2.2.10 Eligibility1Code

Definition: Identifies the type of investor. The rules that apply to each type of client are different.

Type: CodeSet

| CodeName | Name | Definition |
|----------|----------------------|---|
| ELIG | EligibleCounterparty | Eligible customers are the most sophisticated level of investor, able to opt out of some the protections afforded by conduct of business rules. |
| RETL | RetailClient | Retail customers are the least sophisticated level of investor. |
| PROF | ProfessionalClient | Professional customers are, for example, investment firms, credit institutions, insurance companies. |

9.2.2.11 ExternalClearingSystemIdentification1Code

Definition: Specifies the clearing system identification code, as published in an external clearing system identification code list.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

| | |
|-----------|---|
| minLength | 1 |
| maxLength | 5 |

9.2.2.12 ExternalFinancialInstitutionIdentification1Code

Definition: Specifies the external financial institution identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

| | |
|-----------|---|
| minLength | 1 |
| maxLength | 4 |

9.2.2.13 ExternalFinancialInstrumentIdentificationType1Code

Definition: Specifies the external financial instrument identification type scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

| | |
|-----------|---|
| minLength | 1 |
| maxLength | 4 |

9.2.2.14 ExternalOrganisationIdentification1Code

Definition: Specifies the external organisation identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

| | |
|-----------|---|
| minLength | 1 |
| maxLength | 4 |

9.2.2.15 ExternalPersonIdentification1Code

Definition: Specifies the external person identification scheme name code in the format of character string with a maximum length of 4 characters.

The list of valid codes is an external code list published separately.

External code sets can be downloaded from www.iso20022.org.

Type: CodeSet

Format

| | |
|-----------|---|
| minLength | 1 |
| maxLength | 4 |

9.2.2.16 MessageRejectedReason2Code

Definition: Specifies the reason for a message rejected status.

Type: CodeSet

| CodeName | Name | Definition |
|----------|--------------------------------|---|
| NALO | NotAllowedRequest | Sending party is not allowed to send this request. |
| REFE | InvalidOrUnrecognisedReference | Request contains an invalid or unrecognised business reference. |

9.2.2.17 NamePrefix1Code

Definition: Specifies the terms used to formally address a person.

Type: CodeSet

| CodeName | Name | Definition |
|----------|--------|--------------------------------------|
| DOCT | Doctor | Title of the person is Doctor or Dr. |
| MIST | Mister | Title of the person is Mister or Mr. |
| MISS | Miss | Title of the person is Miss. |
| MADM | Madam | Title of the person is Madam. |

9.2.2.18 NamePrefix2Code

Definition: Specifies the terms used to formally address a person.

Type: CodeSet

| CodeName | Name | Definition |
|----------|---------------|---|
| DOCT | Doctor | Title of the person is Doctor or Dr. |
| MADM | Madam | Title of the person is Madam. |
| MISS | Miss | Title of the person is Miss. |
| MIST | Mister | Title of the person is Mister or Mr. |
| MIKS | GenderNeutral | Title of the person is gender neutral (Mx). |

9.2.2.19 NoReasonCode

Definition: Specifies that there is no reason available.

Type: CodeSet

| CodeName | Name | Definition |
|----------|----------|---|
| NORE | NoReason | No reason to report or no reason available to report. |

9.2.2.20 PartyRole2Code

Definition: Specifies the role of the party in the transaction.

Type: CodeSet

| CodeName | Name | Definition |
|----------|---------------|---|
| DIST | Distributor | Party that act as an wholesaler of funds. |
| LGRD | LegalGuardian | Party that has been appointed by a legal authority to act on behalf of a person judged to be incapacitated. |
| DECM | DecisionMaker | Party that is authorised to take investment decisions on behalf of the shareholder. |

9.2.2.21 PreferredContactMethod1Code

Definition: Preferred method used to reach the individual contact within an organisation.

Type: CodeSet

| CodeName | Name | Definition |
|----------|-------------------|---|
| LETT | Letter | Preferred method used to reach the contact is per letter. |
| MAIL | Email | Preferred method used to reach the contact is per email. |
| PHON | Phone | Preferred method used to reach the contact is per phone. |
| FAXX | Fax | Preferred method used to reach the contact is per fax. |
| CELL | MobileOrCellPhone | Preferred method used to reach the contact is per mobile or cell phone. |

9.2.2.22 RejectionReason52Code

Definition: Specifies the reason why the identification disclosure response has a rejected status.

Type: CodeSet

| CodeName | Name | Definition |
|----------|---|--|
| IDRI | InvalidDisclosureRequestIdentification | Disclosure request identification is invalid or unknown. |
| IDRJ | InvalidDisclosureResponseIdentification | Disclosure response identification is invalid or unknown. |
| SVNO | ServiceNotOffered | Service for which the information was sent is not offered. |

9.2.2.23 ShareholdingType1Code

Definition: Specifies the type of shareholding.

Type: CodeSet

| CodeName | Name | Definition |
|----------|------------------------|--|
| BENE | BeneficialShareholding | Shares are held on behalf of the beneficial owner. Usage: this type should be used to report assets the intermediary holds on behalf of a final beneficial owner. |
| NOMI | NomineeShareholding | Shares are held on behalf of an intermediary. Usage: this type should be used to report assets the intermediary holds on behalf of another intermediary. |
| OOAC | OnOwnAccount | Shares are held by the responding intermediary for its own account. Usage: this type should only be used to report the intermediary's own assets if and when the intermediary commingles them with the one of their clients. Within jurisdictions where commingling is not allowed, this type should not be used. |
| UKWN | Unknown | Shareholding type is unknown. Usage: this type should be used when the intermediary's client hasn't been classified. |

9.2.2.24 TypeOfIdentification4Code

Definition: Specifies the type of alternate identification which can be used to give an alternate identification of the party identified.

Type: CodeSet

| CodeName | Name | Definition |
|----------|--|--|
| ARNU | AlienRegistrationNumber | Number assigned by a government agency to identify foreign nationals. |
| CUST | Concat | Number assigned by an issuer to identify a customer via the concatenation of the birthdate and characters of the first name and surname. |
| CORP | CorporateIdentification | Number assigned to a corporate entity. |
| DRLC | DriverLicenseNumber | Number assigned to a driver's license. |
| IDCD | IdentityCardNumber | Number assigned by a national authority to an identity card. |
| NRIN | NationalRegistrationIdentificationNumber | National registration identification number. In Singapore this is known as the NRIC. |
| CCPT | PassportNumber | Number assigned by a passport authority. |
| SOCS | SocialSecurityNumber | Number assigned by a social security agency. |

| CodeName | Name | Definition |
|----------|-------------------------|--|
| TXID | TaxIdentificationNumber | Number assigned by a tax authority to an entity. |

9.2.2.25 UnicodeChartsCode

Definition: codelist containing the names of the UNICODE code block name as specified on <http://unicode.org/Public/UNIDATA/Blocks.txt>.

Type: CodeSet

Constraints

- ValidationByTable

9.2.3 Date

9.2.3.1 ISODate

Definition: A particular point in the progression of time in a calendar year expressed in the YYYY-MM-DD format. This representation is defined in "XML Schema Part 2: Datatypes Second Edition - W3C Recommendation 28 October 2004" which is aligned with ISO 8601.

Type: Date

9.2.4 DateTime

9.2.4.1 ISODateTime

Definition: A particular point in the progression of time defined by a mandatory date and a mandatory time component, expressed in either UTC time format (YYYY-MM-DDThh:mm:ss.sssZ), local time with UTC offset format (YYYY-MM-DDThh:mm:ss.sss+/-hh:mm), or local time format (YYYY-MM-DDThh:mm:ss.sss). These representations are defined in "XML Schema Part 2: Datatypes Second Edition - W3C Recommendation 28 October 2004" which is aligned with ISO 8601.

Note on the time format:

1) beginning / end of calendar day

00:00:00 = the beginning of a calendar day

24:00:00 = the end of a calendar day

2) fractions of second in time format

Decimal fractions of seconds may be included. In this case, the involved parties shall agree on the maximum number of digits that are allowed.

Type: DateTime

9.2.5 IdentifierSet

9.2.5.1 AnyBICDec2014Identifier

Definition: Code allocated to a financial or non-financial institution by the ISO 9362 Registration Authority, as described in ISO 9362: 2014 - "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Type: IdentifierSet

Identification scheme: SWIFT; AnyBICIdentifier

Format

pattern [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}

Constraints

- **AnyBIC**

Only a valid Business identifier code is allowed. Business identifier codes for financial or non-financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consists of eight (8) or eleven (11) contiguous characters.

9.2.5.2 BICFIDec2014Identifier

Definition: Code allocated to a financial institution by the ISO 9362 Registration Authority as described in ISO 9362: 2014 - "Banking - Banking telecommunication messages - Business identifier code (BIC)".

Type: IdentifierSet

Identification scheme: SWIFT; BICIdentifier

Format

pattern [A-Z0-9]{4,4}[A-Z]{2,2}[A-Z0-9]{2,2}([A-Z0-9]{3,3}){0,1}

Constraints

- **BICFI**

Valid BICs for financial institutions are registered and published by the ISO 9362 Registration Authority in the ISO directory of BICs, and consist of eight (8) or eleven (11) contiguous characters.

9.2.5.3 ISICIdentifier

Definition: Identifier of economic activities by ISIC (United Nations' International Standard Industrial Classification of all Economic Activities).

Type: IdentifierSet

Identification scheme: ISIC Identifier

Format

pattern [A-U]{1,1}[0-9]{0,4}

9.2.5.4 ISINOct2015Identifier

Definition: The International Securities Identification Number is a code allocated to financial instruments as well as referential instruments, as described in the ISO 6166 standard, associated with the minimum descriptive data. The ISIN consists of a prefix using the alpha-2 country codes or reserved codes specified in ISO 3166 or other prefixes as may be determined by the Registration Authority for the ISO 6166 standard, a nine characters (alphanumeric) basic code and a check digit.

Type: IdentifierSet

Identification scheme: ANNA; ISINIdentifier

Format

pattern [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}

9.2.5.5 LEIIdentifier

Definition: Legal Entity Identifier is a code allocated to a party as described in ISO 17442 "Financial Services - Legal Entity Identifier (LEI)".

Type: IdentifierSet

Identification scheme: Global LEI System; LEIIdentifier

Format

pattern [A-Z0-9]{18,18}[0-9]{2,2}

9.2.6 Indicator

9.2.6.1 YesNoIndicator

Definition: Indicates a "Yes" or "No" type of answer for an element.

Type: Indicator

Meaning When True: Yes

Meaning When False: No

9.2.7 Quantity

9.2.7.1 DecimalNumber

Definition: Number of objects represented as a decimal number, for example 0.75 or 45.6.

Type: Quantity

Format

totalDigits 18

fractionDigits 17

9.2.8 Rate

9.2.8.1 PercentageRate

Definition: Rate expressed as a percentage, that is, in hundredths, for example, 0.7 is 7/10 of a percent, and 7.0 is 7%.

Type: Rate

Format

| | |
|----------------|-------|
| totalDigits | 11 |
| fractionDigits | 10 |
| baseValue | 100.0 |

9.2.9 Text

9.2.9.1 Exact3NumericText

Definition: Specifies a numeric string with an exact length of 3 digits.

Type: Text

Format

| | |
|---------|----------|
| pattern | [0-9]{3} |
|---------|----------|

9.2.9.2 Exact4AlphaNumericText

Definition: Specifies an alphanumeric string with a length of 4 characters.

Type: Text

Format

| | |
|---------|----------------|
| pattern | [a-zA-Z0-9]{4} |
|---------|----------------|

9.2.9.3 ISO20022MessageIdentificationText

Definition: ISO 20022 Message identifier of an MX message.

Type: Text

Format

| | |
|---------|--|
| pattern | [a-z]{4}\.[0-9]{3}\.[0-9]{3}\.[0-9]{2} |
|---------|--|

9.2.9.4 Max128Text

Definition: Specifies a character string with a maximum length of 128 characters.

Type: Text

Format

| | |
|-----------|---|
| minLength | 1 |
|-----------|---|

| | |
|-----------|-----|
| maxLength | 128 |
|-----------|-----|

9.2.9.5 Max140Text

Definition: Specifies a character string with a maximum length of 140 characters.

Type: Text

Format

| | |
|-----------|-----|
| minLength | 1 |
| maxLength | 140 |

9.2.9.6 Max16Text

Definition: Specifies a character string with a maximum length of 16 characters.

Type: Text

Format

| | |
|-----------|----|
| minLength | 1 |
| maxLength | 16 |

9.2.9.7 Max2048Text

Definition: Specifies a character string with a maximum length of 2048 characters.

Type: Text

Format

| | |
|-----------|------|
| minLength | 1 |
| maxLength | 2048 |

9.2.9.8 Max256Text

Definition: Specifies a character string with a maximum length of 256 characters.

Type: Text

Format

| | |
|-----------|-----|
| minLength | 1 |
| maxLength | 256 |

9.2.9.9 Max350Text

Definition: Specifies a character string with a maximum length of 350 characters.

Type: Text

Format

| | |
|-----------|---|
| minLength | 1 |
|-----------|---|

| | |
|-----------|-----|
| maxLength | 350 |
|-----------|-----|

9.2.9.10 Max35Text

Definition: Specifies a character string with a maximum length of 35 characters.

Type: Text

Format

| | |
|-----------|----|
| minLength | 1 |
| maxLength | 35 |

9.2.9.11 Max4Text

Definition: Specifies a character string with a maximum length of 4 characters.

Type: Text

Format

| | |
|-----------|---|
| minLength | 1 |
| maxLength | 4 |

9.2.9.12 Max50Text

Definition: Specifies a character string with a maximum length of 50 characters.

Type: Text

Format

| | |
|-----------|----|
| minLength | 1 |
| maxLength | 50 |

9.2.9.13 Max5NumericText

Definition: Specifies a numeric string with a maximum length of 5 digits.

Type: Text

Format

| | |
|---------|------------|
| pattern | [0-9]{1,5} |
|---------|------------|

9.2.9.14 Max70Text

Definition: Specifies a character string with a maximum length of 70 characters.

Type: Text

Format

| | |
|-----------|----|
| minLength | 1 |
| maxLength | 70 |

9.2.9.15 PhoneNumber

Definition: The collection of information which identifies a specific phone or FAX number as defined by telecom services.

It consists of a "+" followed by the country code (from 1 to 3 characters) then a "-" and finally, any combination of numbers, "(", ")", "+" and "-" (up to 30 characters).

Type: Text

Format

pattern \+[0-9]{1,3}-[0-9()+\-]{1,30}

9.2.10 Year

9.2.10.1 ISOYear

Definition: Year represented by YYYY (ISO 8601).

Type: Year