

ISO 20022

CSDR BuyIn - Maintenance 2024 - 2025

Message Definition Report - Part 2

Approved by the Securities SEG on 13 February 2025

This document provides details of the Message Definitions for CSDR BuyIn - Maintenance 2024 - 2025.

February 2025

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1 Message Set Overview

Introduction

This document describes the CSDR BuyIn message set. It includes the new version of the MessageDefinitions that have been added as part of the maintenance cycle 2024-2025 (See MCR # 262) and approved by the Securities Standards Evaluation Group on 13 February 2025.

1.1 List of MessageDefinitions

The following table lists all MessageDefinitions described in this book.

MessageDefinition	Definition
sese.041.001.02 BuyInRegulatoryAdviceV02	<p>An account owner sends a BuyInRegulatoryAdvice to an account servicer to notify the results of the buy-in transactions executed under CSDR regulatory regime.</p> <p>The account owner/servicer relationship may be:</p> <ul style="list-style-type: none">- a central securities depository participant which has an account with a central securities depository. <p>It could also be, if agreed in a service level agreement:</p> <ul style="list-style-type: none">- a global custodian which has an account with its local agent (sub-custodian), or- an investment management institution which manage a fund account opened at a custodian, or- a broker which has an account with a custodian, or- a central securities depository which has an account with a custodian, another central securities depository or another settlement market infrastructure. <p>The ultimate receiving party at the end of the settlement chain is a central securities depository or interational central securities depository.</p>

MessageDefinition	Definition
sese.042.001.02 BuyInRegulatoryAdviceResponseV02	<p>An account servicer sends a BuyInRegulatoryAdviceResponse to an account owner to advise the status of a buy-in report previously instructed by the account owner.</p> <p>The account servicer/owner relationship may be:</p> <ul style="list-style-type: none">- a central securities depository or another settlement market infrastructure acting on behalf of their participants- an agent (sub-custodian) acting on behalf of their global custodian customer, or- a custodian acting on behalf of an investment management institution or a broker/dealer.

2 **sese.041.001.02 BuyInRegulatoryAdviceV02**

2.1 **MessageDefinition Functionality**

Scope

An account owner sends a BuyInRegulatoryAdvice to an account servicer to notify the results of the buy-in transactions executed under CSDR regulatory regime.

The account owner/servicer relationship may be:

- a central securities depository participant which has an account with a central securities depository.

It could also be, if agreed in a service level agreement:

- a global custodian which has an account with its local agent (sub-custodian), or
- an investment management institution which manage a fund account opened at a custodian, or
- a broker which has an account with a custodian, or
- a central securities depository which has an account with a custodian, another central securities depository or another settlement market infrastructure.

The ultimate receiving party at the end of the settlement chain is a central securities depository or interational central securities depository.

Usage

The message may also be used to:

- re-send a message previously sent,
- provide a third party with a copy of a message for information,
- re-send to a third party a copy of a message for information using the relevant elements in the Business Application Header.

Outline

The BuyInRegulatoryAdviceV02 MessageDefinition is composed of 4 MessageBuildingBlocks:

- A. AccountOwner
Party that legally owns the account.
- B. SafekeepingAccount
Account used in the original failing transaction.

C. BuyInAttributes

Details of the buy-in.

D. SupplementaryData

Additional information that cannot be captured in the structured elements and/or any other specific block.

2.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <BuyInRgltryAdv>	[1..1]		C10	
	AccountOwner <AcctOwnr>	[0..1]	±		8
	SafekeepingAccount <SfkpgAcct>	[1..1]	±		8
	BuyInAttributes <BuyInAttrbts>	[1..*]			8
	Reference <Ref>	[1..1]		C9	9
	AccountOwnerTransactionIdentification <AcctOwnrTxld>	[0..1]	Text		10
	AccountServicerTransactionIdentification <AcctSvcrTxld>	[0..1]	Text		10
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxld>	[0..1]	Text		10
	ProcessorTransactionIdentification <PrctrTxld>	[0..1]	Text		11
	PoolIdentification <Poolld>	[0..1]	Text		11
	CommonIdentification <Cmonld>	[0..1]	Text		11
	TradeIdentification <Tradld>	[0..1]	Text		11
	UniqueTransactionIdentifier <UnqTxldr>	[0..1]	IdentifierSet		11
	BuyInState <BuyInStat>	[1..1]	CodeSet		11
	BuyInDeferral <BuyInDfrrl>	[1..1]	CodeSet		11
	FinancialInstrumentIdentification <FinInstrmld>	[0..1]	±	C4, C5, C6, C7, C8	12
	Quantity <Qty>	[0..1]	±		13
	BuyInPrice <BuyInPric>	[0..1]	±		13
	CashCompensationAmount <CshCompstnAmt>	[0..1]			13
	Amount <Amt>	[1..1]	Amount	C1, C3	13
	Sign <Sgn>	[1..1]	Indicator		14
	BuyInSettlementDate <BuyInSttlmDt>	[0..1]	±		14
	SupplementaryData <SplmtryData>	[0..*]	±	C11	14

2.3 Constraints

C1 **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

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 **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

C4 **DescriptionPresenceRule**

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

C5 **DescriptionUsageRule**

Description must be used alone as the last resort.

C6 **ISINGuideline**

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

C7 **ISINPresenceRule**

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

C8 **OtherIdentificationPresenceRule**

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

C9 **ReferencePresenceRule**

At least one reference must be present.

C10 **SecuritiesMarketPracticeGroupGuideline**

The Securities Market Practice Group (SMPG) has published market practice recommendations on the use of this message.

These market practices are available on www.smpg.info.

This constraint is defined at the MessageDefinition level.

C11 **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.

2.4 Message Building Blocks

This chapter describes the MessageBuildingBlocks of this MessageDefinition.

2.4.1 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains the following elements (see "[PartyIdentification144](#)" on page 39 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		39
	LEI <LEI>	[0..1]	IdentifierSet		39

2.4.2 SafekeepingAccount <SfkpgAcct>

Presence: [1..1]

Definition: Account used in the original failing transaction.

SafekeepingAccount <SfkpgAcct> contains the following elements (see "[SecuritiesAccount19](#)" on page 32 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		32
	Type <Tp>	[0..1]	±		32
	Name <Nm>	[0..1]	Text		32

2.4.3 BuyInAttributes <BuyInAttrbts>

Presence: [1..*]

Definition: Details of the buy-in.

BuyInAttributes <BuyInAttrbts> contains the following **BuyInAdviceDetails2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]		C9	9
	AccountOwnerTransactionIdentification <AcctOwnrTxId>	[0..1]	Text		10
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[0..1]	Text		10
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		10
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		11
	PoolIdentification <PoolId>	[0..1]	Text		11
	CommonIdentification <CmonId>	[0..1]	Text		11
	TradeIdentification <TradId>	[0..1]	Text		11
	UniqueTransactionIdentifier <UnqTxIdr>	[0..1]	IdentifierSet		11
	BuyInState <BuyInStat>	[1..1]	CodeSet		11
	BuyInDeferral <BuyInDfrrl>	[1..1]	CodeSet		11
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C4, C5, C6, C7, C8	12
	Quantity <Qty>	[0..1]	±		13
	BuyInPrice <BuyInPric>	[0..1]	±		13
	CashCompensationAmount <CshCompstnAmt>	[0..1]			13
	Amount <Amt>	[1..1]	Amount	C1, C3	13
	Sign <Sgn>	[1..1]	Indicator		14
	BuyInSettlementDate <BuyInSttlmDt>	[0..1]	±		14

2.4.3.1 Reference <Ref>

Presence: [1..1]

Definition: References of the failing transaction.

Impacted by: C9 "ReferencePresenceRule"

Reference <Ref> contains the following **References31** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountOwnerTransactionIdentification <AcctOwnrTxId>	[0..1]	Text		10
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[0..1]	Text		10
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		10
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		11
	PoolIdentification <PoolId>	[0..1]	Text		11
	CommonIdentification <CmonId>	[0..1]	Text		11
	TradeIdentification <TradId>	[0..1]	Text		11
	UniqueTransactionIdentifier <UnqTxIdr>	[0..1]	IdentifierSet		11

Constraints

- **ReferencePresenceRule**

At least one reference must be present.

On Condition

/AccountOwnerTransactionIdentification is absent

And /AccountServicerTransactionIdentification is absent

And /MarketInfrastructureTransactionIdentification is absent

And /ProcessorTransactionIdentification is absent

And /PoolIdentification is absent

Following Must be True

/CommonIdentification Must be present

Or /TradeIdentification Must be present

2.4.3.1.1 AccountOwnerTransactionIdentification <AcctOwnrTxId>

Presence: [0..1]

Definition: Unambiguous identification of the transaction as known by the account owner (or the instructing party managing the account).

Datatype: "Max35Text" on page 48

2.4.3.1.2 AccountServicerTransactionIdentification <AcctSvcrTxId>

Presence: [0..1]

Definition: Unambiguous identification of the transaction as known by the account servicer.

Datatype: "Max35Text" on page 48

2.4.3.1.3 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>

Presence: [0..1]

Definition: Identification of a transaction assigned by a market infrastructure other than a central securities depository, for example, Target2-Securities.

Datatype: "Max35Text" on page 48

2.4.3.1.4 ProcessorTransactionIdentification <PrcrTxld>*Presence:* [0..1]*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner, the account servicer and the market infrastructure.*Datatype:* "Max35Text" on page 48**2.4.3.1.5 PoolIdentification <Poolld>***Presence:* [0..1]*Definition:* Collective reference identifying a set of messages.*Datatype:* "Max35Text" on page 48**2.4.3.1.6 CommonIdentification <Cmonld>***Presence:* [0..1]*Definition:* Unique reference agreed upon by the two trade counterparties to identify the trade.*Datatype:* "Max35Text" on page 48**2.4.3.1.7 TradeIdentification <Tradld>***Presence:* [0..1]*Definition:* Reference assigned to the trade by the investor or the trading party. This reference will be used throughout the trade life cycle to access/update the trade details.*Datatype:* "Max35Text" on page 48**2.4.3.1.8 UniqueTransactionIdentifier <UnqTxldr>***Presence:* [0..1]*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.*Datatype:* "UTIdentifier" on page 46**2.4.3.2 BuyInState <BuyInStat>***Presence:* [1..1]*Definition:* Status of the buy-in transaction.*Datatype:* "BuyInState1Code" on page 43

CodeName	Name	Definition
BSSP	PartiallySuccessful	Buy-in was partially successful.
BSSY	Successful	Buy-in was successful.
BSSN	Unsuccessssful	Buy-in was unsuccessful.

2.4.3.3 BuyInDeferral <BuyInDfrrl>*Presence:* [1..1]*Definition:* Specifies if the buy-in transaction was deferred or not.*Datatype:* "BuyInDeferral1Code" on page 43

CodeName	Name	Definition
DEFY	BuyInDeferred	Buy-in is deferred.
DEFN	BuyInNotDeferred	Buy-in is not deferred.

2.4.3.4 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Identification of the financial instrument of the buy-in instruction.

Impacted by: [C4 "DescriptionPresenceRule"](#), [C5 "DescriptionUsageRule"](#), [C6 "ISINGuideline"](#), [C7 "ISINPresenceRule"](#), [C8 "OtherIdentificationPresenceRule"](#)

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see ["SecurityIdentification19" on page 33](#) for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		34
	OtherIdentification <OthrId>	[0..*]			34
	Identification <Id>	[1..1]	Text		34
	Suffix <Sfx>	[0..1]	Text		34
	Type <Tp>	[1..1]	±		35
	Description <Desc>	[0..1]	Text		35

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

2.4.3.5 Quantity <Qty>

Presence: [0..1]

Definition: Quantity of financial instrument concerned by the buy-in transaction.

Quantity <Qty> contains one of the following elements (see "[FinancialInstrumentQuantity1Choice](#)" on page 35 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		35
Or	FaceAmount <FaceAmt>	[1..1]	Amount		35
Or}	AmortisedValue <AmtdsdVal>	[1..1]	Amount		35

2.4.3.6 BuyInPrice <BuyInPric>

Presence: [0..1]

Definition: Price of the traded financial instrument in the buy-in transaction.

BuyInPrice <BuyInPric> contains one of the following elements (see "[RateAndAmountFormat39Choice](#)" on page 40 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		40
Or}	Amount <Amt>	[1..1]	Amount	C1	40

2.4.3.7 CashCompensationAmount <CshCompstnAmt>

Presence: [0..1]

Definition: Amount of money that has to be paid by the failing trading party in case of an unsuccessful or partially successful buy-in transaction.

CashCompensationAmount <CshCompstnAmt> contains the following **AmountAndDirection102** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1, C3	13
	Sign <Sgn>	[1..1]	Indicator		14

2.4.3.7.1 Amount <Amt>

Presence: [1..1]

Definition: Amount of money in the cash entry.

Impacted by: C1 "ActiveCurrency", C3 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 42

Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

2.4.3.7.2 Sign <Sgn>

Presence: [1..1]

Definition: Indicates that the amount value is positive or negative.

Datatype: One of the following values must be used (see "PlusOrMinusIndicator" on page 47):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

2.4.3.8 BuyInSettlementDate <BuyInSttlmDt>

Presence: [0..1]

Definition: Settlement date of the buy-in.

BuyInSettlementDate <BuyInSttlmDt> contains one of the following elements (see "DateAndDateTime2Choice" on page 32 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		33
Or}	DateTime <DtTm>	[1..1]	DateTime		33

2.4.4 SupplementaryData <SplmtryData>

Presence: [0..*]

Definition: Additional information that cannot be captured in the structured elements and/or any other specific block.

Impacted by: C11 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "[SupplementaryData1](#)" on page 37 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		38
	Envelope <Envlp>	[1..1]	(External Schema)		38

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.

3 **sese.042.001.02** **BuyInRegulatoryAdviceResponseV02**

3.1 **MessageDefinition Functionality**

Scope

An account servicer sends a BuyInRegulatoryAdviceResponse to an account owner to advise the status of a buy-in report previously instructed by the account owner.

The account servicer/owner relationship may be:

- a central securities depository or another settlement market infrastructure acting on behalf of their participants
- an agent (sub-custodian) acting on behalf of their global custodian customer, or
- a custodian acting on behalf of an investment management institution or a broker/dealer.

Usage

A BuyInRegulatoryReport may contain reports on multiple transactions. However, one BuyInRegulatoryReportStatusAdvice must be sent per transaction reported unless the BuyInRegulatoryReport is rejected as a whole.

The message may also be used to:

- re-send a message previously sent,
- provide a third party with a copy of a message for information,
- re-send to a third party a copy of a message for information using the relevant elements in the Business Application Header.

Outline

The BuyInRegulatoryAdviceResponseV02 MessageDefinition is composed of 6 MessageBuildingBlocks:

A. AdviceReference

Identification of the BuyInRegulatoryAdvice message for which the response is provided.

B. AccountOwner

Party that legally owns the account.

C. SafekeepingAccount

Account used in the original failing transaction.

D. BuyInAttributes

Details of the buy-in.

E. ProcessingStatus

Provides details on the processing status of the advice.

F. SupplementaryData

Additional information that cannot be captured in the structured elements and/or any other specific block.

3.2 Structure

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Message root <Document> <BuyInRgltryAdvRspn>	[1..1]			
	AdviceReference <AdvRef>	[1..1]			20
	Identification <Id>	[1..1]	Text		20
	AccountOwner <AcctOwnr>	[0..1]	±		20
	SafekeepingAccount <SfkpgAcct>	[0..1]	±		20
	BuyInAttributes <BuyInAttrbts>	[0..*]			21
	Reference <Ref>	[1..1]		C9	22
	AccountOwnerTransactionIdentification <AcctOwnrTxId>	[0..1]	Text		22
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[0..1]	Text		22
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		23
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		23
	PoolIdentification <PoolId>	[0..1]	Text		23
	CommonIdentification <CmonId>	[0..1]	Text		23
	TradeIdentification <TradId>	[0..1]	Text		23
	UniqueTransactionIdentifier <UnqTxIdr>	[0..1]	IdentifierSet		23
	BuyInState <BuyInStat>	[1..1]	CodeSet		23
	BuyInDeferral <BuyInDfrrl>	[1..1]	CodeSet		24
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C4, C5, C6, C7, C8	24
	Quantity <Qty>	[0..1]	±		25
	BuyInPrice <BuyInPric>	[0..1]	±		25
	CashCompensationAmount <CshCompstnAmt>	[0..1]			25
	Amount <Amt>	[1..1]	Amount	C1, C3	26
	Sign <Sgn>	[1..1]	Indicator		26
	BuyInSettlementDate <BuyInSttlmDt>	[0..1]	±		26
	ProcessingStatus <PrccgSts>	[1..1]			27
{Or	AcknowledgedAccepted <AckdAccptd>	[1..1]			27
{Or	NoSpecifiedReason <NoSpccfdRsn>	[1..1]	CodeSet		27
Or}	Reason <Rsn>	[1..*]			28

Or	MessageElement/BuildingBlock<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]	±		28
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		28
Or}	Rejected <Rjctd>	[1..1]			28
{Or	NoSpecifiedReason <NoSpfcdRsn>	[1..1]	CodeSet		29
Or}	Reason <Rsn>	[1..*]			29
	Code <Cd>	[1..1]			29
{Or	Code <Cd>	[1..1]	CodeSet		30
Or}	Proprietary <Prtry>	[1..1]	±		30
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		30
	SupplementaryData <SplmtryData>	[0..*]	±	C10	30

3.3 Constraints

C1 ActiveCurrency

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

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 CurrencyAmount

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

C4 DescriptionPresenceRule

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

C5 DescriptionUsageRule

Description must be used alone as the last resort.

C6 ISINGuideline

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

C7 ISINPresenceRule

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

C8 OtherIdentificationPresenceRule

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

C9 ReferencePresenceRule

At least one reference must be present.

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 AdviceReference <AdvRef>

Presence: [1..1]

Definition: Identification of the BuyInRegulatoryAdvice message for which the response is provided.

AdviceReference <AdvRef> contains the following **Identification14** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		20

3.4.1.1 Identification <Id>

Presence: [1..1]

Definition: Unique identifier of a document, message or transaction.

Datatype: "Max35Text" on page 48

3.4.2 AccountOwner <AcctOwnr>

Presence: [0..1]

Definition: Party that legally owns the account.

AccountOwner <AcctOwnr> contains the following elements (see "PartyIdentification144" on page 39 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		39
	LEI <LEI>	[0..1]	IdentifierSet		39

3.4.3 SafekeepingAccount <SfkpgAcct>

Presence: [0..1]

Definition: Account used in the original failing transaction.

SafekeepingAccount <SfkpgAcct> contains the following elements (see "SecuritiesAccount19" on page 32 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		32
	Type <Tp>	[0..1]	±		32
	Name <Nm>	[0..1]	Text		32

3.4.4 BuyInAttributes <BuyInAttrbts>

Presence: [0..*]

Definition: Details of the buy-in.

BuyInAttributes <BuyInAttrbts> contains the following **BuyInAdviceDetails2** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Reference <Ref>	[1..1]		C9	22
	AccountOwnerTransactionIdentification <AcctOwnrTxId>	[0..1]	Text		22
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[0..1]	Text		22
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		23
	ProcessorTransactionIdentification <PrctrTxId>	[0..1]	Text		23
	PoolIdentification <PoolId>	[0..1]	Text		23
	CommonIdentification <CmonId>	[0..1]	Text		23
	TradeIdentification <TradId>	[0..1]	Text		23
	UniqueTransactionIdentifier <UnqTxIdr>	[0..1]	IdentifierSet		23
	BuyInState <BuyInStat>	[1..1]	CodeSet		23
	BuyInDeferral <BuyInDfrrl>	[1..1]	CodeSet		24
	FinancialInstrumentIdentification <FinInstrmId>	[0..1]	±	C4, C5, C6, C7, C8	24
	Quantity <Qty>	[0..1]	±		25
	BuyInPrice <BuyInPric>	[0..1]	±		25
	CashCompensationAmount <CshCompstnAmt>	[0..1]			25
	Amount <Amt>	[1..1]	Amount	C1, C3	26
	Sign <Sgn>	[1..1]	Indicator		26
	BuyInSettlementDate <BuyInSttlmDt>	[0..1]	±		26

3.4.4.1 Reference <Ref>

Presence: [1..1]

Definition: References of the failing transaction.

Impacted by: C9 "ReferencePresenceRule"

Reference <Ref> contains the following **References31** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	AccountOwnerTransactionIdentification <AcctOwnrTxId>	[0..1]	Text		22
	AccountServicerTransactionIdentification <AcctSvcrTxId>	[0..1]	Text		22
	MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>	[0..1]	Text		23
	ProcessorTransactionIdentification <PrcrTxId>	[0..1]	Text		23
	PoolIdentification <PoolId>	[0..1]	Text		23
	CommonIdentification <CmonId>	[0..1]	Text		23
	TradeIdentification <TradId>	[0..1]	Text		23
	UniqueTransactionIdentifier <UnqTxIdr>	[0..1]	IdentifierSet		23

Constraints

- **ReferencePresenceRule**

At least one reference must be present.

On Condition

 /AccountOwnerTransactionIdentification is absent

And /AccountServicerTransactionIdentification is absent

And /MarketInfrastructureTransactionIdentification is absent

And /ProcessorTransactionIdentification is absent

And /PoolIdentification is absent

Following Must be True

 /CommonIdentification Must be present

Or /TradeIdentification Must be present

3.4.4.1.1 AccountOwnerTransactionIdentification <AcctOwnrTxId>

Presence: [0..1]

Definition: Unambiguous identification of the transaction as known by the account owner (or the instructing party managing the account).

Datatype: "Max35Text" on page 48

3.4.4.1.2 AccountServicerTransactionIdentification <AcctSvcrTxId>

Presence: [0..1]

Definition: Unambiguous identification of the transaction as known by the account servicer.

Datatype: "Max35Text" on page 48

3.4.4.1.3 MarketInfrastructureTransactionIdentification <MktInfrstrctrTxId>*Presence:* [0..1]*Definition:* Identification of a transaction assigned by a market infrastructure other than a central securities depository, for example, Target2-Securities.*Datatype:* "Max35Text" on page 48**3.4.4.1.4 ProcessorTransactionIdentification <PrcrTxId>***Presence:* [0..1]*Definition:* Identification of the transaction assigned by the processor of the instruction other than the account owner, the account servicer and the market infrastructure.*Datatype:* "Max35Text" on page 48**3.4.4.1.5 PoolIdentification <PoolId>***Presence:* [0..1]*Definition:* Collective reference identifying a set of messages.*Datatype:* "Max35Text" on page 48**3.4.4.1.6 CommonIdentification <CmonId>***Presence:* [0..1]*Definition:* Unique reference agreed upon by the two trade counterparties to identify the trade.*Datatype:* "Max35Text" on page 48**3.4.4.1.7 TradeIdentification <TradId>***Presence:* [0..1]*Definition:* Reference assigned to the trade by the investor or the trading party. This reference will be used throughout the trade life cycle to access/update the trade details.*Datatype:* "Max35Text" on page 48**3.4.4.1.8 UniqueTransactionIdentifier <UnqTxIdr>***Presence:* [0..1]*Definition:* Unique Transaction Identifier (UTI) as agreed with the other counterparty.*Datatype:* "UTIIdentifier" on page 46**3.4.4.2 BuyInState <BuyInStat>***Presence:* [1..1]*Definition:* Status of the buy-in transaction.*Datatype:* "BuyInState1Code" on page 43

CodeName	Name	Definition
BSSP	PartiallySuccessful	Buy-in was partially successful.
BSSY	Successful	Buy-in was successful.
BSSN	Unsuccesssful	Buy-in was unsuccessful.

3.4.4.3 BuyInDeferral <BuyInDfrrl>

Presence: [1..1]

Definition: Specifies if the buy-in transaction was deferred or not.

Datatype: "BuyInDeferral1Code" on page 43

CodeName	Name	Definition
DEFY	BuyInDeferred	Buy-in is deferred.
DEFN	BuyInNotDeferred	Buy-in is not deferred.

3.4.4.4 FinancialInstrumentIdentification <FinInstrmId>

Presence: [0..1]

Definition: Identification of the financial instrument of the buy-in instruction.

Impacted by: C4 "DescriptionPresenceRule", C5 "DescriptionUsageRule", C6 "ISINGuideline", C7 "ISINPresenceRule", C8 "OtherIdentificationPresenceRule"

FinancialInstrumentIdentification <FinInstrmId> contains the following elements (see "SecurityIdentification19" on page 33 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		34
	OtherIdentification <OthrId>	[0..*]			34
	Identification <Id>	[1..1]	Text		34
	Suffix <Sfx>	[0..1]	Text		34
	Type <Tp>	[1..1]	±		35
	Description <Desc>	[0..1]	Text		35

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

```

3.4.4.5 Quantity <Qty>

Presence: [0..1]

Definition: Quantity of financial instrument concerned by the buy-in transaction.

Quantity <Qty> contains one of the following elements (see "[FinancialInstrumentQuantity1Choice](#)" on page 35 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		35
Or	FaceAmount <FaceAmt>	[1..1]	Amount		35
Or}	AmortisedValue <AmtdVal>	[1..1]	Amount		35

3.4.4.6 BuyInPrice <BuyInPric>

Presence: [0..1]

Definition: Price of the traded financial instrument in the buy-in transaction.

BuyInPrice <BuyInPric> contains one of the following elements (see "[RateAndAmountFormat39Choice](#)" on page 40 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		40
Or}	Amount <Amt>	[1..1]	Amount	C1	40

3.4.4.7 CashCompensationAmount <CshCompstnAmt>

Presence: [0..1]

Definition: Amount of money that has to be paid by the failing trading party in case of an unsuccessful or partially successful buy-in transaction.

CashCompensationAmount <CshCompstnAmt> contains the following **AmountAndDirection102** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Amount <Amt>	[1..1]	Amount	C1, C3	26
	Sign <Sgn>	[1..1]	Indicator		26

3.4.4.7.1 Amount <Amt>

Presence: [1..1]

Definition: Amount of money in the cash entry.

Impacted by: C1 "ActiveCurrency", C3 "CurrencyAmount"

Datatype: "ActiveCurrencyAndAmount" on page 42

Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

3.4.4.7.2 Sign <Sgn>

Presence: [1..1]

Definition: Indicates that the amount value is positive or negative.

Datatype: One of the following values must be used (see "PlusOrMinusIndicator" on page 47):

- *Meaning When True:* Plus
- *Meaning When False:* Minus

3.4.4.8 BuyInSettlementDate <BuyInSttlmDt>

Presence: [0..1]

Definition: Settlement date of the buy-in.

BuyInSettlementDate <BuyInSttlmDt> contains one of the following elements (see "DateAndDateTime2Choice" on page 32 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Date <Dt>	[1..1]	Date		33
Or}	DateTime <DtTm>	[1..1]	DateTime		33

3.4.5 ProcessingStatus <PrcgSts>

Presence: [1..1]

Definition: Provides details on the processing status of the advice.

ProcessingStatus <PrcgSts> contains one of the following **ProcessingStatus79Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AcknowledgedAccepted <AckdAccptd>	[1..1]			27
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		27
Or}	Reason <Rsn>	[1..*]			28
	Code <Cd>	[1..1]	±		28
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		28
Or}	Rejected <Rjctd>	[1..1]			28
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		29
Or}	Reason <Rsn>	[1..*]			29
	Code <Cd>	[1..1]			29
{Or	Code <Cd>	[1..1]	CodeSet		30
Or}	Proprietary <Prtry>	[1..1]	±		30
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		30

3.4.5.1 AcknowledgedAccepted <AckdAccptd>

Presence: [1..1]

Definition: Buy-in advice is acknowledged by the account servicer.

AcknowledgedAccepted <AckdAccptd> contains one of the following **AcknowledgedAcceptedStatus33Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpcdfRsn>	[1..1]	CodeSet		27
Or}	Reason <Rsn>	[1..*]			28
	Code <Cd>	[1..1]	±		28
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		28

3.4.5.1.1 NoSpecifiedReason <NoSpcdfRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: "NoReasonCode" on page 44

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

3.4.5.1.2 Reason <Rsn>

Presence: [1..*]

Definition: Further information about the reason of the acknowledged accepted status.

Reason <Rsn> contains the following **AcknowledgementReason21** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]	±		28
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		28

3.4.5.1.2.1 Code <Cd>

Presence: [1..1]

Definition: Reason provided for the status.

Code <Cd> contains one of the following elements (see ["AcknowledgementReason24Choice"](#) on page 40 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		40
Or}	Proprietary <Prtry>	[1..1]	±		41

3.4.5.1.2.2 AdditionalReasonInformation <AddtlRsnInf>

Presence: [0..1]

Definition: Provides additional reason information that cannot be provided in a structured field.

Datatype: ["Max210Text"](#) on page 48

3.4.5.2 Rejected <Rjctd>

Presence: [1..1]

Definition: Buy-in advice is rejected for further processing.

Rejected <Rjctd> contains one of the following **RejectionOrRepairStatus31Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	NoSpecifiedReason <NoSpctdRsn>	[1..1]	CodeSet		29
Or}	Reason <Rsn>	[1..*]			29
	Code <Cd>	[1..1]			29
{Or	Code <Cd>	[1..1]	CodeSet		30
Or}	Proprietary <Prtry>	[1..1]	±		30
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		30

3.4.5.2.1 NoSpecifiedReason <NoSpctdRsn>

Presence: [1..1]

Definition: Indicates that there is no reason available or to report.

Datatype: "NoReasonCode" on page 44

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

3.4.5.2.2 Reason <Rsn>

Presence: [1..*]

Definition: Specifies the reason for the status.

Reason <Rsn> contains the following **RejectionOrRepairReason25** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Code <Cd>	[1..1]			29
{Or	Code <Cd>	[1..1]	CodeSet		30
Or}	Proprietary <Prtry>	[1..1]	±		30
	AdditionalReasonInformation <AddtlRsnInf>	[0..1]	Text		30

3.4.5.2.2.1 Code <Cd>

Presence: [1..1]

Definition: Specifies the reason why the instruction/request has a rejected or repair status.

Code <Cd> contains one of the following **RejectionAndRepairReason25Choice** elements

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		30
Or}	Proprietary <Prtry>	[1..1]	±		30

3.4.5.2.2.1.1 Code <Cd>*Presence:* [1..1]*Definition:* Specifies the reason why the instruction/request has a repair or rejection status.*Datatype:* "RejectionReason27Code" on page 44

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
LATE	MarketDeadlineMissed	Received after market deadline.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
NRGM	NoMatch	More than one instruction match the criteria.
NRGN	NotFoundRejection	Instruction could not be found.
OTHR	Other	Other. See Narrative.
REFE	ReferenceRejection	Instruction has a reference identical to another previously received instruction.
INVM	InvalidModificationRequest	Invalid or unrecognized modification request.
INVL	InvalidLink	Invalid or unrecognized link.

3.4.5.2.2.1.2 Proprietary <Prtry>*Presence:* [1..1]*Definition:* Specifies the reason why the instruction/request has a repair or rejection status.**Proprietary <Prtry>** contains the following elements (see "GenericIdentification30" on page 36 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		36
	Issuer <Issr>	[1..1]	Text		36
	SchemeName <SchmeNm>	[0..1]	Text		36

3.4.5.2.2.2 AdditionalReasonInformation <AddtlRsnInf>*Presence:* [0..1]*Definition:* Provides additional reason information that cannot be provided in a structured field.*Datatype:* "Max210Text" on page 48**3.4.6 SupplementaryData <SplmtryData>***Presence:* [0..*]*Definition:* Additional information that cannot be captured in the structured elements and/or any other specific block.*Impacted by:* C10 "SupplementaryDataRule"

SupplementaryData <SplmtryData> contains the following elements (see "[SupplementaryData1](#)" on page 37 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	PlaceAndName <PlcAndNm>	[0..1]	Text		38
	Envelope <Envlp>	[1..1]	(External Schema)		38

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 Message Items Types

4.1 MessageComponents

4.1.1 Account

4.1.1.1 SecuritiesAccount19

Definition: Account to or from which a securities entry is made.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		32
	Type <Tp>	[0..1]	±		32
	Name <Nm>	[0..1]	Text		32

4.1.1.1.1 Identification <Id>

Presence: [1..1]

Definition: Unambiguous identification for the account between the account owner and the account servicer.

Datatype: "Max35Text" on page 48

4.1.1.1.2 Type <Tp>

Presence: [0..1]

Definition: Specifies the type of securities account.

Type <Tp> contains the following elements (see "GenericIdentification30" on page 36 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		36
	Issuer <Issr>	[1..1]	Text		36
	SchemeName <SchmeNm>	[0..1]	Text		36

4.1.1.1.3 Name <Nm>

Presence: [0..1]

Definition: Description of the account.

Datatype: "Max70Text" on page 49

4.1.2 Date Time

4.1.2.1 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		33
Or}	DateTime <DtTm>	[1..1]	DateTime		33

4.1.2.1.1 Date <Dt>

Presence: [1..1]

Definition: Specified date.

Datatype: "ISODate" on page 45

4.1.2.1.2 DateTime <DtTm>

Presence: [1..1]

Definition: Specified date and time.

Datatype: "ISODateTime" on page 45

4.1.3 Financial Instrument

4.1.3.1 SecurityIdentification19

Definition: Identification of a security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	ISIN <ISIN>	[0..1]	IdentifierSet		34
	OtherIdentification <OthrId>	[0..*]			34
	Identification <Id>	[1..1]	Text		34
	Suffix <Sfx>	[0..1]	Text		34
	Type <Tp>	[1..1]	±		35
	Description <Desc>	[0..1]	Text		35

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
```

4.1.3.1.1 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 46

4.1.3.1.2 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		34
	Suffix <Sfx>	[0..1]	Text		34
	Type <Tp>	[1..1]	±		35

4.1.3.1.2.1 Identification <Id>

Presence: [1..1]

Definition: Identification of a security.

Datatype: "Max35Text" on page 48

4.1.3.1.2.2 Suffix <Sfx>

Presence: [0..1]

Definition: Identifies the suffix of the security identification.

Datatype: "Max16Text" on page 48

4.1.3.1.2.3 Type <Tp>

Presence: [1..1]

Definition: Type of the identification.

Type <Tp> contains one of the following elements (see "IdentificationSource3Choice" on page 37 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		37
Or}	Proprietary <Prtry>	[1..1]	Text		37

4.1.3.1.3 Description <Desc>

Presence: [0..1]

Definition: Textual description of a security instrument.

Datatype: "Max140Text" on page 48

4.1.4 Financial Instrument Quantity

4.1.4.1 FinancialInstrumentQuantity1Choice

Definition: Choice between formats for the quantity of security.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Unit <Unit>	[1..1]	Quantity		35
Or	FaceAmount <FaceAmt>	[1..1]	Amount		35
Or}	AmortisedValue <AmtsdVal>	[1..1]	Amount		35

4.1.4.1.1 Unit <Unit>

Presence: [1..1]

Definition: Quantity expressed as a number, for example, a number of shares.

Datatype: "DecimalNumber" on page 47

4.1.4.1.2 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 42

4.1.4.1.3 AmortisedValue <AmtsdVal>

Presence: [1..1]

Definition: Quantity expressed as an amount representing the current amortised face amount of a bond, for example, a periodic reduction/increase of a bond's principal amount.

Datatype: "ImpliedCurrencyAndAmount" on page 42

4.1.5 Identification Information

4.1.5.1 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		36
	Issuer <Issr>	[1..1]	Text		36
	SchemeName <SchmeNm>	[0..1]	Text		36

4.1.5.1.1 Identification <Id>

Presence: [1..1]

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

Datatype: "Exact4AlphaNumericText" on page 47

4.1.5.1.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 48

4.1.5.1.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "Max35Text" on page 48

4.1.5.2 GenericIdentification36

Definition: Identification using a proprietary scheme.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		36
	Issuer <Issr>	[1..1]	Text		37
	SchemeName <SchmeNm>	[0..1]	Text		37

4.1.5.2.1 Identification <Id>

Presence: [1..1]

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

Datatype: "Max35Text" on page 48

4.1.5.2.2 Issuer <Issr>

Presence: [1..1]

Definition: Entity that assigns the identification.

Datatype: "Max35Text" on page 48

4.1.5.2.3 SchemeName <SchmeNm>

Presence: [0..1]

Definition: Short textual description of the scheme.

Datatype: "Max35Text" on page 48

4.1.5.3 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		37
Or}	Proprietary <Prtry>	[1..1]	Text		37

4.1.5.3.1 Code <Cd>

Presence: [1..1]

Definition: Unique and unambiguous identification source, as assigned via a pre-determined code list.

Datatype: "ExternalFinancialInstrumentIdentificationType1Code" on page 44

4.1.5.3.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Unique and unambiguous identification source using a proprietary identification scheme.

Datatype: "Max35Text" on page 48

4.1.6 Miscellaneous

4.1.6.1 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		38
	Envelope <Envlp>	[1..1]	(External Schema)		38

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.

4.1.6.1.1 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 48

4.1.6.1.2 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.

4.1.7 Party Identification**4.1.7.1 PartyIdentification127Choice**

Definition: Choice of identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	38
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		39

4.1.7.1.1 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 45

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.

4.1.7.1.2 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 36 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		36
	Issuer <Issr>	[1..1]	Text		37
	SchemeName <SchmeNm>	[0..1]	Text		37

4.1.7.2 PartyIdentification144

Definition: Identification of a party.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	±		39
	LEI <LEI>	[0..1]	IdentifierSet		39

4.1.7.2.1 Identification <Id>

Presence: [1..1]

Definition: Unique identification of the party.

Identification <Id> contains one of the following elements (see "[PartyIdentification127Choice](#)" on page 38 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	AnyBIC <AnyBIC>	[1..1]	IdentifierSet	C2	38
Or}	ProprietaryIdentification <PrtryId>	[1..1]	±		39

4.1.7.2.2 LEI <LEI>

Presence: [0..1]

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

Datatype: "[LEIIdentifier](#)" on page 46

4.1.8 Rate

4.1.8.1 RateAndAmountFormat39Choice

Definition: Choice of format between rate and amount.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Rate <Rate>	[1..1]	Rate		40
Or}	Amount <Amt>	[1..1]	Amount	C1	40

4.1.8.1.1 Rate <Rate>

Presence: [1..1]

Definition: Value is expressed as a rate.

Datatype: "PercentageRate" on page 47

4.1.8.1.2 Amount <Amt>

Presence: [1..1]

Definition: Value is expressed as a currency and amount.

Impacted by: C1 "ActiveCurrency"

Datatype: "ActiveCurrencyAnd13DecimalAmount" on page 41

Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

4.1.9 Status

4.1.9.1 AcknowledgementReason24Choice

Definition: Choice of format for a acknowledgement reason.

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
{Or	Code <Cd>	[1..1]	CodeSet		40
Or}	Proprietary <Prtry>	[1..1]	±		41

4.1.9.1.1 Code <Cd>

Presence: [1..1]

Definition: Specifies additional information about the processed instruction expressed as a code.

Datatype: "AcknowledgementReason10Code" on page 43

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Received after the account servicer's deadline. Processed on best effort basis.
SMPG	MarketPracticeRuleDiscrepancy	Instruction is accepted but does not comply with the market practice rule published for the concerned market or process.
OTHR	Other	Other. See Narrative.

4.1.9.1.2 Proprietary <Prtry>

Presence: [1..1]

Definition: Specifies additional information about the processed instruction expressed as a proprietary code.

Proprietary <Prtry> contains the following elements (see "[GenericIdentification30](#)" on page 36 for details)

Or	MessageElement<XML Tag>	Mult.	Type	Constr. No.	Page
	Identification <Id>	[1..1]	Text		36
	Issuer <Issr>	[1..1]	Text		36
	SchemeName <SchmeNm>	[0..1]	Text		36

4.2 Message Datatypes

4.2.1 Amount

4.2.1.1 ActiveCurrencyAnd13DecimalAmount

Definition: A number of monetary units specified in an active currency where the unit of currency is explicit and compliant with ISO 4217. The number of fractional digits (or minor unit of currency) is not checked as per ISO 4217: It must be lesser than or equal to 13.

Note: The decimal separator is a dot.

Type: Amount

This data type contains the following XML attribute:

Name	Attribute XML Name	Datatype
Currency	Ccy	"ActiveCurrencyCode" on page 43

Format

minInclusive	0
totalDigits	18
fractionDigits	13

Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

4.2.1.2 ActiveCurrencyAndAmount

Definition: A number of monetary units specified in an active currency where the unit of currency is explicit and compliant with ISO 4217.

Type: Amount

This data type contains the following XML attribute:

Name	Attribute XML Name	Datatype
Currency	Ccy	"ActiveCurrencyCode" on page 43

Format

minInclusive	0
totalDigits	18
fractionDigits	5

Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

- **CurrencyAmount**

The number of fractional digits (or minor unit of currency) must comply with ISO 4217.

Note: The decimal separator is a dot.

4.2.1.3 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

4.2.2 CodeSet

4.2.2.1 AcknowledgementReason10Code

Definition: Specifies additional information about the processed instruction.

Type: CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Received after the account servicer's deadline. Processed on best effort basis.
SMPG	MarketPracticeRuleDiscrepancy	Instruction is accepted but does not comply with the market practice rule published for the concerned market or process.
OTHR	Other	Other. See Narrative.

4.2.2.2 ActiveCurrencyCode

Definition: A code allocated to a currency by a Maintenance Agency under an international identification scheme as described in the latest edition of the international standard ISO 4217 "Codes for the representation of currencies and funds".

Type: CodeSet

Format

pattern [A-Z]{3,3}

Constraints

- **ActiveCurrency**

The currency code must be a valid active currency code, not yet withdrawn on the day the message containing the currency is exchanged. Valid active currency codes are registered with the ISO 4217 Maintenance Agency, consist of three (3) contiguous letters, and are not yet withdrawn on the day the message containing the Currency is exchanged.

4.2.2.3 BuyInDeferral1Code

Definition: Specifies if the buy-in transaction was deferred or not.

Type: CodeSet

CodeName	Name	Definition
DEFY	BuyInDeferred	Buy-in is deferred.
DEFN	BuyInNotDeferred	Buy-in is not deferred.

4.2.2.4 BuyInState1Code

Definition: Specifies the state of the buy-in transaction.

Type: CodeSet

CodeName	Name	Definition
BSSP	PartiallySuccessful	Buy-in was partially successful.
BSSY	Successful	Buy-in was successful.
BSSN	Unsuccessssful	Buy-in was unsuccessful.

4.2.2.5 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

4.2.2.6 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.

4.2.2.7 RejectionReason27Code

Definition: Specifies the reason why the instruction/cancellation request has a rejected status.

Type: CodeSet

CodeName	Name	Definition
ADEA	AccountServicerDeadlineMissed	Transaction/instruction received after the account servicer's specified deadline.
LATE	MarketDeadlineMissed	Received after market deadline.
SAFE	SafekeepingAccountRejection	Unrecognised or invalid message sender's safekeeping account.
NRGM	NoMatch	More than one instruction match the criteria.
NRGN	NotFoundRejection	Instruction could not be found.
OTHR	Other	Other. See Narrative.
REFE	ReferenceRejection	Instruction has a reference identical to another previously received instruction.
INVM	InvalidModificationRequest	Invalid or unrecognized modification request.

CodeName	Name	Definition
INVL	InvalidLink	Invalid or unrecognized link.

4.2.3 Date

4.2.3.1 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

4.2.4 DateTime

4.2.4.1 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

4.2.5 IdentifierSet

4.2.5.1 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.

4.2.5.2 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.

Note: this identifier also supports the new version of the standard, which was published in 2021 (ISO 6166:2021) as there is no update in the pattern.

Type: IdentifierSet

Identification scheme: ANNA; ISINIdentifier

Format

pattern [A-Z]{2,2}[A-Z0-9]{9,9}[0-9]{1,1}

4.2.5.3 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}

4.2.5.4 UTIIdentifier

Definition: Unique Transaction Identifier (UTI). Unique number allocated to a financial transaction as agreed among the parties and/or within the regulatory system under which it is formed. The UTI is described in the latest edition of the international standard ISO 23897:2020.

Type: IdentifierSet

Identification scheme: Parties to a trade; UTIIdentifier

Format

pattern [A-Z0-9]{18}[0-9]{2}[A-Z0-9]{0,32}

4.2.6 Indicator

4.2.6.1 PlusOrMinusIndicator

Definition: Indicates a positive or negative value.

Type: Indicator

Meaning When True: Plus

Meaning When False: Minus

4.2.7 Quantity

4.2.7.1 DecimalNumber

Definition: Number of objects represented as a decimal number, for example 0.75 or 45.6.

Type: Quantity

Format	
totalDigits	18
fractionDigits	17

4.2.8 Rate

4.2.8.1 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

4.2.9 Text

4.2.9.1 Exact4AlphaNumericText

Definition: Specifies an alphanumeric string with a length of 4 characters.

Type: Text

Format	
pattern	[a-zA-Z0-9]{4}

4.2.9.2 Max140Text

Definition: Specifies a character string with a maximum length of 140 characters.

Type: Text

Format

minLength	1
maxLength	140

4.2.9.3 Max16Text

Definition: Specifies a character string with a maximum length of 16 characters.

Type: Text

Format

minLength	1
maxLength	16

4.2.9.4 Max210Text

Definition: Specifies a character string with a maximum length of 210 characters.

Type: Text

Format

minLength	1
maxLength	210

4.2.9.5 Max350Text

Definition: Specifies a character string with a maximum length of 350 characters.

Type: Text

Format

minLength	1
maxLength	350

4.2.9.6 Max35Text

Definition: Specifies a character string with a maximum length of 35 characters.

Type: Text

Format

minLength	1
maxLength	35

4.2.9.7 Max70Text

Definition: Specifies a character string with a maximum length of 70characters.

Type: Text

Format

minLength	1
maxLength	70